CONSENT AGENDA

to the Open Agenda of the 632nd Meeting of the Board of Governors

Thursday, October 4, 2022
Richcraft Hall 2440R

4.1 ITEM(S) FOR APPROVAL

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

MOTION: That the Board of Governors approves the open minutes of the 631st meeting of the Board of Governors, as presented.

4.1.2 Board Award Criteria and Jury Selection

MOTION: On the recommendation of the Advancement and University Relations Committee, that the Board of Governors approves the criteria for the 2022/23 Board of Governors Award for Outstanding Community Achievement, proposed timeline and jury composition.

4.1.3 Founders Jury Selection

MOTION: On the recommendation of the Advancement and University Relations Committee, that the Board of Governors approves the Founders Award jury composition.

4.1.4 Audit and Risk Committee Terms of Reference

MOTION: On the recommendation of the Governance Committee, that the Board of Governors approves the Audit and Risk Committee's terms of reference.

4.2 ITEM(S) FOR INFORMATION

4.2.1 Committee Minutes

a) Advancement and University Relations Committee
   • April 20, 2022 Meeting Minutes
b) Building Program Committee
   • April 11, 2022 Meeting Minutes
c) Finance Committee
   • April 11, 2022 Meeting Minutes

4.2.2 Campus Master Plan Renewal Process Update

4.2.3 Major Capital Projects Overview

4.2.4 New Student Residence Update
4.2.5 Ongoing Capital and Deferred Maintenance Project Status Report
4.2.6 Transportation Plan & Parking Strategy Update
4.2.7 Project Closure Report - Co-generation Facility
4.2.8 Update on 2022/23 Operating Budget
4.2.9 Update on 2022/23 Ancillary Budget
4.2.10 Update on 2022 Credit Rating
4.2.11 Advancement Update – Overview and Strategy 2022/2023
4.2.12 Centre for Community Engagement Overview & Consultation
4.2.13 Government Relations Overview & Update
4.2.14 Provincial Metric Ratios 2020/2021
4.2.15 Board Work Plan and Schedule of Meetings
4.2.16 Minutes from Senate
The Board of Governors acknowledges and respects the Algonquin First Nation, on whose traditional territory the Carleton University campus is located.

Minutes of the 631st Meeting of the Board of Governors

Thursday, June 9th, 2022 at 3:00 p.m.
Via Videoconference

PRESENT: D. Fortin (Chair) G. Garland S. Mingie
D. Alves D. Greenberg N. Nanos
B.A. Bacon L. Hayes B. O’Connor
B. Creary L. Honsberger B. Örmeci
P. Dion N. Karhu E. Sloan
G. Farrell (Vice-Chair) A. Keung P. Smith
K. Furlong H. Khalsa C. Tessier
K. von Finckenstein C. Khordoc A. Tremblay
A. Lettieri A. Ullett

REGRETS: Y. Baltacioğlu M. Fraser J. Taber
A. Brown H. Heppler

STAFF: G. Aulenback M. Dabros R. Goubran
N. Arnold L. Dyke S. Levitt
S. Blanchard A. Elmi C. Malcolm Edwards
M. Bright T. Frost K. Solomon
J. Conley A. Goth (R. Secretary) J. Tomberlin

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 territory on which Carleton University is located.

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 agenda was circulated in advance. It was moved by A. Tremblay and seconded by C. Tessier that the open agenda of the 631st 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: Open Session Minutes from the 630th Board Meeting, Special Appointments to Senate, and the Use of the External Auditor for Non-Audit Services Policy.

The following items were circulated in the open consent agenda for information: the University Secretariat Annual Report June 2022, the Cyclical Review Program Summary for 2020/2021, and the minutes from Senate.

It was moved by G. Garland and seconded by D. Greenberg, that the items in the open consent agenda be approved, as presented. The motion carried unanimously.

5. **ITEMS FOR APPROVAL**

5.1 **Carleton University General Operating By-Law 1.0**

A memo and amended by-laws were circulated in advance.

The Chair noted that the Governance Committee is required to periodically review the constating instruments of the University, the Board, and the various Board committees, including the By-laws and make recommendations to the Board of Governors for development and change where appropriate.

G. Farrell, Chair of the Governance Committee, advised that the by-laws were reviewed by the Governance Committee over the 2021/2022 board year. A. Goth, University Secretary, S. Levitt, General Counsel, and external counsel were involved in the process throughout. Since the last review, the Province of Ontario proclaimed the *Ontario Not-for-Profit Corporations Act* (ONCA), and attention was paid to ensure that Carleton’s by-laws conformed to the new legislation.

A. Goth outlined the proposed changes as minor stylistic amendments to harmonize any inconsistencies and to reflect modern practices for use of technology and communications.

The proposed changes retain the present allocation of powers and responsibilities as the current version of the bylaws. Summary of proposed changes included:
• Minor and stylistic amends to harmonize inconsistencies and to reflect the modern practices for use of technology were incorporated including reference to meetings being conducted via telephonic, electronic, video-conference or other communications facility.
• Section 4.02 was updated to refer to the Board Nominating Policy.
• Corrections and omission with respect to position titles.
• Update to defined terms section 1.01 to clarify that Instructors are included in academic staff.
• Update to qualification and eligibility criteria for student governors in section 4.03.
• Update to term of office of the Chair and Vice-Chair or the Board to allow greater flexibility in section 7.03.
• Update to reflect practice of scheduling of Board meetings in advance for the full board year in section 6.01.
• Removed reference to book of minutes to reflect current practice in section 6.01.
• Removed requirement to stream meetings to another location on campus as in practice we are now capable of using videoconferencing instead in section 6.06.
• Updated voting procedures (section 6.12 & appendix B) to reflect current practice.
• Updated the Executive committee membership to remove Chancellor in section 8.01.

On the recommendation of the Governance Committee, it was moved by D. Alves and seconded by B. O’Conner to approve by special resolution the amendments to sections 1, 2, 3, 4, 6, 7, 8, 11 and appendix A, B of General Operating By-law No.1 effective immediately, as presented. The motion carried unanimously.

5.2 Sexual Violence Policy

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

B.A. Bacon, President and Vice-Chancellor, introduced the item noting that a requirement by the Province of Ontario that Carleton review the Sexual Violence Policy every three years. A robust, multi-phase, and transparent consultation process was conducted and the updated policy articulates Carleton’s commitment to a safe, supportive, and healthy campus, and confirms that the University is confirmed to support anyone affected by sexual violence. He noted that the policy is not the only tool the University has to counter and mitigate sexual violence, and that the Sexual Violence Annual Report and Honouring Each Other Strategy Update will be reviewed in items 6.1 and 6.2 respectively.

S. Blanchard, Vice-President (Students and Enrolment) introduced Amal Elmi (Senior Equity Advisor), Greg Aulenback (Director, Strategic Initiatives), and Steve Levitt (General Counsel), Lisa Ralph (Associate Vice-President, Student Affairs), and Kristie Tousignant (Director, Health and Counselling Services) who were involved in the extensive consultation process.
The consultation process began in October 2021 and is now in the finalization phase. During the listening phase, an anonymous feedback form was opened, 21 consultation sessions were offered, and 12 anonymous submissions were received. During the drafting phase, a tracked changes version of the policy was released to the community, consultation sessions and meetings took place with key stakeholder groups. Over the process, limited feedback was received reflecting the maturity of the policy and overall satisfaction. A robust communication plan was implemented including emails to the Carleton community, student websites, a mobile app, social media posts, and newsletters.

During the listening phases, three main themes emerged: Policy Administration (accessibility of the policy, accommodations, support, and inclusivity), Response (formal process and interim measures), and Prevention and Education (commitment to education, Sexual Violence Prevention and Education Committee).

An overview of the changes from the listening phase included:

- Clarification that survivors will be provided an option to be contacted by an Equity and Inclusive Communities (EIC) Advisor (section 6.5 (a));
- Addition of the Director, Labour Relations (Academic), Office of the Deputy Provost on the Sexual Violence Review Committee when the Complainant or Respondent is an academic employee (section 6.5 (c));
- Addition of the Director, Labour Relations (Academic), Office of the Deputy Provost to receive a formal complaint related to academic employees (section 9.1 (a));
- Clarification that both the Complainant and Respondent will be provided with a copy of the investigation report and will be invited to provide comments (section 9.5);
- Addition of section 8.13 on irrelevant questions as required by the regulations;
- Grammatical updates; and
- General updates to titles, department names, etc.

In the drafting phase, the engagement continued to be low, but positive feedback was received. Most of the comments received were already addressed but clarification was added to the draft. Adjustments to the draft included:

- Addition of recognizing systemic forms of oppression (section 2.1 (g));
- Inclusion of a web link for additional supports (section 6.2 (b));
- Language adjustments (sections 6.2 (b) and 6.4); and
- Clarification of the conflict-of-interest process (section 8.8).

On the recommendation of the Governance Committee, it was moved by N. Karhu and seconded by G. Garland to approve the revised Sexual Violence Policy, as presented. The motion carried unanimously.

6. ITEMS FOR INFORMATION
6.1 Sexual Violence Annual Report

An executive summary, presentation and report were circulated in advance. S. Blanchard advised that a Sexual Violence Report is provided to the Board annually as required by regulation. She introduced Ikram Jama (Interim Assistant Vice-President and University Advisor at the Department of Equity and Inclusive Communities) and A. Elmi (Senior Advisor, Gender and Sexual Violence Prevention and Support) as key contributors to the report.

Carleton University is committed to addressing sexual violence in the Carleton community. Since 2020, there have been additional barriers for sexual violence survivors in accessing resources and supports during the COVID-19 pandemic. New protocols were developed for referring survivors to campus resources. Carleton responded to the challenges by offering multiple support groups for survivors throughout the academic year, both in-person and virtual, with training specific to the pandemic environment.

In 2021, there was an increase in the number of disclosures over 2020, which demonstrates the continued efficacy of Carleton’s outreach on-campus and indicates greater trust and a capacity for the University to be able to respond. In terms of prevention, awareness, and education initiatives, the Carleton Sexual Assault Support Centre trained more than 1,900 members of the campus community in 2021. The Sexual Violence Review Committee underwent two additional trainings including Restorative Practices in Response to Sexual Violence and Procedural Fairness Training. Equity and Inclusive Communities (EIC) offered virtual workshops for the Responding to Disclosures of Sexual Violent and two in-person trainings on Creating Consent Culture on Campus. Other initiatives included partnering with Toronto Metropolitan University on the “We Deserve Healing Not Harm” speaker series and the Begin by Listening: Sexual Violence Student Activism Symposium.

In 2021, EIC created a video to offer updates on the sexual violence prevention strategy work plan. EIC also hosted an Instagram Live to explore the ways in which 2SLGBT+ communities are disproportionately impacted by sexual violence. Information on the Sexual Violence Policy continues to be posted on the current student website and in the student portal.

Between January and December 2021, there were a total of 92 disclosures seeking support services compared to 67 in 2020. Of the 92 disclosures in 2021:

- 2 cases went to a formal investigation process as requested by the respective complainants;
- 67 were based on incidents that occurred within a year of the disclosure;
- 25 were considered to be historical incidents;
- 60 disclosures involved a respondent who is a member of the Carleton community; and
• 36 incidents took place on-campus.

The breakdown of disclosure statistics are based on the six broad categories of sexual violence (not including formal complaints) are as follows with some disclosures falling into two or more categories: 71 cases of sexual assault, 21 cases of sexual harassment, three cases of stalking, no cases of indecent exposure, one case of voyeurism, and five cases of sexual exploitation. Compared to 2020, the 2021 data indicated greater trust, increased reporting, and that the University is responding in a timely fashion.

The Sexual Violence Policy has been updated and reporting adjustments have been made based on the Ministry of Colleges and Universities requirements. Though 2021 presented many challenges, Carleton ensured that services remained adaptable and flexible and will continue to innovate and take new approaches to supporting survivors in 2022.

The Chair inquired how the variation in the number of disclosures in a year could be interpreted. Noting that an increase in reporting can mean a greater sense of trust and awareness that support is available. S. Blanchard responded that the disclosures are a small subset of what is happening in the community and more people coming forward is needed. A. Elmi concurred, advising that the partial return to campus and opening of their physical office increased support and awareness of those supports which contributed to the increased disclosures between 2020 and 2021.

A member inquired about sexual exploitation. S. Blanchard responded that the definition of sexual exploitation used was “taking advantage of another person through non-consensual and abusive control which may include the digital or electronic broadcasting, distributing, and recording of people involved in sexual acts without their consent”. A. Elmi advised that sexual exploitation can exist in virtual/online platforms and whether the community is in person or online, sexual violence can exist.

A member inquired given the mandated reporting, if the Ministry returns any information back to the university on broader societal comparisons. S. Blanchard responded that the Ministry does not report back to universities and comparisons between campuses is challenging.

6.2 Honouring Each Other Strategy Update

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

A. Elmi provided a presentation summarizing the 2021 Annual Report “Honouring Each Other: a blueprint for building consent cultures on campus together”. Honouring Each Other is a campus-wide intervention strategy for sexual violence created in 2019 as a living document to provide a responsive and adaptable strategy to enhance campus consent culture. The document provides a three-year overview of actions, campaigns, and programming that was co-created by the campus community. Every 90 days, Equity and
Inclusive Communities (EIC), in partnership with the members of the Sexual Violence Prevention and Education Committee (SVPEC), review the strategy and update the work plan to reflect the actions required for the next 90 days of work.

The five strategic goals in Honouring Each Other include:

1. Creating a space for ongoing, responsive education on campus;
2. Engaging the campus community to become “Consent Champions”;
3. Building individualized, intersectional support systems;
4. Systematic measurement and review of what works; and
5. Fostering a consent culture for Carleton.

In light of the changes to the strategy in 2020 and due to the COVID-19 pandemic, two of the three working groups were restructured to better reflect the updated work plan. The Public Education and Communities Working Group was launched and tasked with creating virtual awareness and education campaigns. The Measurement Working Group created learning outcomes and evaluations for the Carleton Consent Collective. Highlights of the current work plan includes the expansion of intersectional support systems for survivors and the development and evaluation of inclusive prevention programming.

With the gradual and safe return to campus, EIC will continue to update the current work plan to reflect ongoing progress in collaboration with the working groups. Projects of focus include the creating of three evaluation tools (education, intake, and service evaluations), preparing to deliver virtual and/or in-person training for Fall 2022, and assessing when to reintroduce in-person initiatives in the strategy. An overview of the Sexual Violence Prevention and Education Committee Task Force membership was provided.

6.3 Draft Digital Strategy

An executive summary, presentation and draft strategy were circulated in advance.

B.A. Bacon introduced the draft Digital Strategy. It stems from the Strategic Integrated Plan (SIP) and aims to set a course towards better leveraging of digital technology to enhance Carleton’s academic mission. A digital strategy must balance being high-level (aspirational) with specificity (action orientated). He introduced the team: M. Dabros, Chief Information Officer (CIO) and Assistant Vice-President Information Technology Services, D. Hornsby, Associate Vice-President (Teaching and Learning), and N. Arnold, Director, Office of Quality Initiatives.

N. Arnold provided an overview of the progress to date with key milestones including the striking of the Advisory Committee in Spring 2021, consultations and analysis of collected data in Fall 2021, development of an aspiration statement and roadmap in Winter 2022, and draft review process in Spring 2022. The framework articulates the vision for the future of
digital at Carleton, provides a set of principles that underpin the digital evolution, and clear objectives that align with the University’s mission pillars.

M. Dabros outlined the roadmap of the strategy. The pandemic highlighted several things including the current environment of high levels of uncertainty and that flexibility is key. The roadmap lays out a planning life cycle that aligns with the University’s own budget and planning process but allows for flexibility and changes as needed. The plan has a short-term focus of 12-18 months and includes mechanisms to measure progress of initiatives and key performance indicators (KPIs). The aspiration statement is “Carleton University will leverage digital technology to empower our collective capabilities to be a force for good in our communities” and the strategy principles include being user focused, inclusive, collaborative, responsible, and agile. Other feedback gathered from the community inspired more specific strategic priorities, in alignment with the SIP and reflecting the varied experiences that make up the University. The Digital Strategy goes beyond technology and includes equal emphasis on not only technology, but also people and processes. Important changes will focus on governance, renewal, and culture. The governance piece of the strategy is critical, with greater transparency and improved inclusivity. The strategy includes the creation of an IT governance structure that improves the decision-making processes. Digital initiatives will be strategically focused, recognizing the need for balance between research, the student experience, teaching and learning, and organizational excellence. There will be a shift towards a culture of renewal, embedding a consistent process for digital renewal without being overly prescriptive. Other elements of renewal will include being nimble and responsive to change, balanced portfolios reflecting the University’s mission pillars and in alignment with the SIP.

Next steps include finalizing the Digital Strategy with strategic engagements with the Senate, Board of Governors, and the Information Systems Steering Committee as well as the finalization of a communications plan over Summer 2022. The team is aiming to launch the Digital Strategy and Roadmap in Fall 2022.

A member commented that they appreciated the amount of work that went into the draft Digital Strategy and look forward to seeing the final plan, acknowledging the challenges of changing culture.

A member noted that a number of end-users were identified but noted that prospective students were not included and inquired for the reasoning on this decision. M. Dabros noted that the lifecycle of a student flows from being a prospective student through to becoming an alumnus and the group will ensure that is addressed accordingly. N. Arnold further responded that the initial interaction with a prospective student will be an area that they will be looking to collaborate with Students and Enrolment to ensure alignment with the University’s strategies.

6.4 Strategic Integrated Plan Annual Update
B.A. Bacon provided an update on the progress made during year-two of the 2020-2025 Strategic Integrated Plan (SIP). Highlights included:

- **“Share Knowledge, Shape the Future”**: 2021 was the largest graduating year in Carleton’s history with over 6,800 students and 2022 was expected to be the same size or larger;
  - First-year retention rate is over 90%, the two-year retention rate increased to 86%;
  - Research funding, a proxy for quality and impact, has been growing and reached $97 million;
  - Creation of interdisciplinary and multidisciplinary research clusters across campus on wellness and sustainability, data science across all five faculties, and the establishment of the Innovation Hub;
  - Development of new technologies and teaching online including Brightspace, Student as Partners Program, updates to over 500 courses to ensure courses are student-centered, and the continued development of Indigenous Learning Bundles; and
  - Fostering a Culture of Organizational Excellence including fiscal responsibility, appropriate reserves, long-term financial stability, Carleton was awarded the Order of Excellence for its Healthy Workplace Strategy;
- **“Serve Ottawa, Serve the World”**: commitment to have an impact locally with the Hub for Good and to assume a role as a global institution with students now coming from 165 different countries;
  - Community Engagement including the Carnegie Classification Pilot Project, increased coordination in community engagement at Carleton and the creation of the Centre for Community Engagement;
  - Partnerships with purpose through developing strategic partnerships with companies in the Ottawa area, increased industry funding almost six-fold over the past five years;
  - Build bridges with the world with a comprehensive approach to global outreach including Scholars at Risk, and partnering with international universities;
- **“Strive for Wellness, Strive for Sustainability”**: two major infrastructure projects include the Wellness Hub and the Centre for Sustainability Research;
  - Student Mental Health Framework 2022-2026 included 30 recommendations to improve student supports;
  - Strive for Sustainability with Carleton being ranked the most sustainable university in Ontario, Gold STARS rating from the Association for the Advancement of Sustainability in Higher Education, and the introduction of Responsible Investing Policies;
  - Striving for reconciliation through the Kinàmàgwin Strategy with 41 calls to action;
  - Accessibility Strategy by leveraging the new Coordinated Accessibility Strategy and leadership in the Accessibility Network; and
Equity Diversity and Inclusion Action Plan including commitment to the 50-30 Challenge, Sexual Violence Policy review, and signatory to Scarborough Charter on Anti-Black racism.

Next steps include finalizing the Digital Strategy and the Community Engagement Strategy. The Campus Master Plan is in consultation for its next phase and an Academic and Research Plan is underway. Carleton’s brand campaign is underway, Carleton is aiming to reach $100 million in annual research funding, and a $500 million campaign for partnering with purpose will be announced.

A member inquired about the retention rates which appeared to be lower than the Ontario average and why this was the case. B.A. Bacon responded that this can be influenced by the type of students that an institution accepts, the types of programs offered and advised that Carleton is an inclusive institution with a lot of first-generation students and students that may have to work during their studies. He reiterated the improvements in both the first and second-year retention rates.

6.5 Report from Chair

The Annual Board Chair Report was circulated in advance.

The Chair reflected that this is his last board meeting as Chair and appreciated everyone’s work and communication in a virtual environment. He thanked everyone for their time and dedication to the Board and its committees. He commented that in tough times, great organizations move ahead of the rest and the past two years has demonstrated this for Carleton. He looks forward to returning to the Board for the next two years in the role as Past Board Chair and continuing the important work of the Board. He noted the passing of Shirley Greenberg, Carleton Alumni and the mother of Board member D. Greenberg and condolences were extended on behalf of the Board.

6.6 Report from the President

The Annual President Report as well as the Kinâmågwin Progress Report and Student Mental Health Framework 2022-2026 were circulated in advance.

B.A. Bacon provided an update on the ongoing response to the COVID-19 pandemic advising that Carleton will be lifting its mask mandate in consultation with stakeholders on and off campus in the coming weeks, specifying that masking will be kept for Convocation.

Convocation commences on June 13, 2022 and will be the first in-person ceremonies to be held since 2019 and will include ceremonies for the classes of 2019, 2021, and 2022, with seven honourary degrees being awarded as part of Convocation. June will also be a celebration of Pride Month and National Indigenous History Month. B.A. Bacon also noted the progress made with the Student Mental Health Framework for 2022-2026.
Lastly, he pointed to the Annual President’s Report which highlights the achievements from the past year.

He noted that Carleton’s research performance of a 79% increase in research funding since 2018. Carleton achieved its highest fundraising year in its history with $43 million in 2021/22 during a pandemic and without the support of a full fundraising campaign. Broke ground on the New Student Residence Building and multiple infrastructure projects are on the go. Members of the Carleton community participated in the annual The Royal - Run for Women to support mental health projects for women, Carleton raising $5,500 for the cause.

A member commented on the fundraising numbers and the accomplishment of having a record setting year during a pandemic and thanked J. Conley, Chief Advancement Officer, and her team.

7. OPEN-OTHER BUSINESS

No additional business was brought forward.

8. OPEN-QUESTION PERIOD

No additional questions were brought forward.

9. END OF OPEN SESSION AND BRIEF NETWORKING BREAK

There being no further business, the Open Session of the Board of Governors was adjourned at approximately 4:43 p.m.
1.0 PURPOSE
☒ For Approval  ☐ For Information  ☐ For Discussion

2.0 MOTION
On the recommendation of the Advancement and University Relations Committee, move to approve the criteria for the 2022/23 Board of Governors Award for Outstanding Community Achievement, proposed timeline and jury composition, as presented.

3.0 EXECUTIVE SUMMARY
The Board of Governors has established an award entitled The Carleton University Board of Governors Award for Outstanding Community Achievement. The award is issued annually to a full-time undergraduate or graduate student, in a graduating class.

The Advancement and University Relations (A&UR) Committee is responsible for reviewing and recommending the Award Criteria, as well as establishing a Jury to review nominations and recommend a recipient.

Presentation of the award takes place at Convocation in either November or June.

4.0 INPUT FROM OTHER SOURCES
Annually the A&UR Committee approves the Board Award Criteria, Jury and timeline. Attached the committee can find proposed revisions for 2022/23 as well as a draft timeline.

The following members are recommended for the Jury for the Board Award Selection Committee for the 22/23 year:

Chair or Vice-Chair or designate of the Board as Chair of the Jury: Kim Furlong
Chair or Vice-Chair or designate of the A&UR Committee: Dan Greenberg
Faculty: Laura Newton Miller
Staff: Nina Karhu
Undergraduate Student: Mira Gillis
Graduate Student: Abhishek Khoyani

5.0 ANALYSIS AND STRATEGIC ALIGNMENT
The Board Award for Outstanding Community Achievement supports the Strategic Integrated Plan Direction of Share Knowledge. Shape the Future - We will prepare students for success in an ever-changing future as well as the Direction of Serve Ottawa. Service the World – We will encourage community engagement in research and learning.
6.0 FINANCIAL IMPLICATIONS
The award is given annual in the amount of $2,000 from the Board of Governors Budget.

7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT
None identified.

8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY
Advertising for the award will commence in January 2023 with approval by the Board and announcement in April 2023.

9.0 OVERALL RISK MANAGEMENT ANALYSIS

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2022/2023 Carleton University Board of Governors Award for Outstanding Community Achievement

The Carleton University Board of Governors Award for Outstanding Community Achievement recognizes the spirit of student volunteerism and substantial community contribution while at Carleton University.

The Award

The award recognizes voluntary involvement and is intended to honour non-academic work. Nominees/applicants must be successfully pursuing a full-time program of study, in a graduating class at Carleton University, and be in Good Academic Standing. Preference will be given to all graduate and undergraduate nominees/applicants with an overall CGPA of 7 (B-) or higher, in a graduating class.

Individuals may be nominated for this award by:

- A member of the external community;
- A member of the faculty/staff;
- A fellow student;
- The student him/herself.

A cash award in the amount of $2,000 will be awarded to the recipient.

Nominations and applications for the award shall be considered by a jury convened for this purpose.

Qualification Criteria

The recipient of the award is selected based on the following factors:

- leadership in and substantial contributions to the Carleton University community while balancing the demands of student life;
- academic excellence and potential for future personal and professional growth and achievement;
- exemplary service to Carleton University, fellow students and/or the community-at-large;
- a spirit of volunteerism and community service demonstrated through active, unpaid involvement in and contributions to the community, while as a student at Carleton University;
- a record of exceptional commitment and leadership at Carleton University that inspires others to engage in volunteer service;
• the recipient must be expecting to graduate in the academic year 2022/23.
• the recipient cannot be a current board member.

**Nomination Process**

All nominations/applications must include:

• A statement of no more than 250 words, written by the nominee, describing how their involvement has made a significant difference to social, environmental or philanthropic aspects of the Carleton University community.
• A resume, no longer than two pages in length, focused specifically on volunteer experience;
• Two letters of reference, one of which should be from a supervisor of one of their volunteer activities;
• The student’s full name, student number, mailing and/or email address, and telephone number.

**Deadline for nominations**

All nominations/applications must be submitted by email to Amanda Goth, University Secretary or in person to the University Secretariat, Room 607 Robertson Hall, no later than **4:30pm on March 24, 2023**. The presentation of the award will take place at Spring Convocation.

**Composition of the Board Award Jury**

• Chair or Vice-Chair or designate of the Board of Governors, as Chair of the Jury
• Chair or Vice-Chair or designate of the Advancement & University Relations Committee
• One Faculty Representative
• One Staff Representative
• One Undergraduate Student Representative
• One Graduate Student Representative
Timeline

**Sept. 19, 2022:** Advancement and University Relations Committee appoints the jury.

**Nov. 29, 2022:** Board Office issues a Call for Nominations through various internal media.
   - Post Call for Nomination on BOG website as news item, Top5, Twitter, and through marcomm network

**March 24, 2023:** Deadline for receipt of nominations.

**April 2022:** Jury to review applicants and identify a successful nominee.

**April 20, 2023:** Advancement and University Relations Committee receives the Jury’s recommendation.

**April 27, 2023:** Board of Governors receives a report from Advancement and University Relations Committee on the recommended recipient.

**June/Nov. 2022:** Presentation of Award at Convocation and news feature in Carleton Grad Stories.
1.0 PURPOSE
☒ For Approval  ☐ For Information  ☐ For Discussion

2.0 MOTION
On the recommendation of the Advancement and University Relations Committee, move to approve the 2022/23 Founders Award jury composition, as presented.

3.0 EXECUTIVE SUMMARY
A previous President established an award entitled The Founders Award in June 1996 to recognize and pay tribute to individuals who have made significant contributions to the advancement of Carleton University through their dedication, generosity, and commitment to the values of the University. The award is issued annually, when merited, at Spring Convocation. The award is Carleton’s highest non-academic honour.

In January 2021, the administration of the Founders Award was transferred to the Board of Governors.

The Advancement and University Relations (A&UR) Committee is responsible for reviewing and recommending the Award Criteria, as well as establishing a Jury to review nominations and recommend a recipient.

Presentation of the award takes place at Convocation June.

4.0 INPUT FROM OTHER SOURCES
Annually the A&UR Committee recommends the approval of the Award Criteria, Jury and timeline.

The following members are recommended for the Jury for the Founders Award Selection Committee for the 22/23 year:

Chair or Vice-Chair or designate of the Board as Chair of the Jury  Kim Furlong
President of the Alumni Association  Mat Main
Chief Advancement Officer  Jennifer Conley
Faculty Representative  Laura Newton Miller
Staff Representative  Art Ullett
Student Representative  Mira Gillis
Alumni Representative  Linda Grussani

5.0 ANALYSIS AND STRATEGIC ALIGNMENT
The Founders Award supports the Strategic Integrated Plan Direction of Serve Ottawa Serve the World – We will open our doors to the community, we will develop and foster partnerships with purpose.
6.0 FINANCIAL IMPLICATIONS
The award is given annually, when merited and has no financial aspect. The Board Office will however be responsible for the cost of production of the physical award and maintenance of the plaque in the Board of Governors boardroom.

7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT
There is potential risk with award recipients which can be mitigated as noted below.

8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY
As the highest non-academic honor of the university, there is a degree of reputational risk associated with issuing an award during convocation ceremonies. To help mitigate this risk, upon the receipt of a founder’s award nomination, the University Secretary shall: (1) review nominations to verify consistency with the requirements of criteria and to confirm, to the extent possible, that a nomination poses a low risk of reputational harm to Carleton University; (2) if any concerns are identified, consult with the President and Vice-Chancellor and Chair of the Advancement and University Relations Committee.

9.0 OVERALL RISK MANAGEMENT ANALYSIS

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Committee’s Role - Overview

The Audit and Risk Committee reviews and assesses recommendations and reports on the financial and internal controls and risk exposures of the University. The committee's functions include review of external audit, internal audit and enterprise risk management program which includes review of internal controls, safeguarding of the University’s assets and general risk oversight of the identification, assessment, and mitigation of enterprise risks. The Committee monitors external and internal audits, confirms that the Auditors’ recommendations are given due consideration, and that the Auditors have independence in their relationships with the Administration.

Specifically, the Audit Committee shall oversee the following areas:

1. Financial reporting processes to confirm transparency and integrity of financial reports;
2. Enterprise Risk Management Policy and Framework, including the process to identify, evaluate and mitigate enterprise risks as well to confirm it meets the needs of the University;
3. Effectiveness of internal and external audit functions; and
4. Implementation of internal and external audit and enterprise risk recommendations.

A. **External Audit**

In support of its mandate to oversee the external audit, the Committee will perform the following functions annually:

- Consider and recommend to the Board of Governors (the Board), the appointment of External Auditors.
- Review and recommend the approval of the annual audit letters of engagement, management, independence and scope of services as presented by the External Auditors to the Board of Governors.

- Review and recommend to the Board, approval of the annual audit fees and a list provided by the External Auditors describing their fees for other audits and non-audit services for the previous fiscal year.

- Review and recommend to the Board for approval the External Auditor’s audit plan, scope of examination and the nature of the level of support provided by administration.

- Review and recommend to the Board for approval the draft annual Audited Financial Statements and financial report, as to the fairness of presentation, acceptability of accounting principles, and adequacy of disclosure.

- Review and recommend to the Board for approval the draft annual Audited Pension Plan Statements as well as reviewing significant findings or recommendations submitted by the External Auditor or Pension Committee.

- Assess the completeness of the work performed by the External Auditors, the lead partner, and report the results of this assessment to the Board.

- Review material observations and recommendations made by the External Auditors during the audit and ensure that there is a process in place for response and/or correction of these matters as required.

- Meet privately with the External Auditor lead partner to confirm and assess that the audit function is independent, has the capacity, capabilities and cooperation to perform the audit plan and has ability to facilitate the provision of an independent report.

In support of its mandate to oversee the external audit, the Committee will perform the following functions, as required:

- Review the engagement of the External Auditors. Normally, a request for proposals for external audit services would be issued every five years.

- Review any requests to use the External Auditor’s firm for non-audit work as stipulated in the Use of External Auditor for Non-Audit Services and Related Fees Policy.

- Where permission for non-audit work is required between regularly scheduled meetings of the Committee and time is of the essence, the Chair of the Committee has the delegated authority to complete the necessary review following the procedures noted above and in the Use of External Auditor for Non-Audit Services and Related Fees Policy, where the proposed non-audit work does not entail a total fee in excess of
$50,000. The Chair will report the outcome of any such action to the Committee at its first scheduled meeting following such review. Notwithstanding the ability to use delegated authority, the Chair of the Committee may choose to consult with the Committee and/or engage its members in the decision-making on these matters.

B. Internal Audit

In support of its mandate to oversee the internal auditing process, the Committee will perform the following functions:

- Annually review and approve the annual internal audit plan and three-year work plan of the internal audit function presented by the Administration and the Internal Auditors;

- Receive reports for each internal audit with a synopsis of the results found and management’s response and plan for implementation of the recommendations;

- Receive a report (usually twice per year) on the status of implementation of all outstanding audit recommendations; and

- At least annually, meet privately with the Internal Auditor lead partner to confirm and assess that the internal audit function is independent (free of conflicts), has the capacity, capabilities, and cooperation to perform the audit plan and has ability to facilitate the provision of an independent report.

The Committee will perform the following functions as needed:

- Examine and report on any matters referred to the Committee by the Executive Committee of the Board; and

- Review the effectiveness and cost structure of the Internal Audit function and recommend the service provider to the Board. Normally, a request for proposals for internal audit services would be issued every five years.

C. Enterprise Risk Management

- Review and approve every five years, the Risk Management policy and framework for the University, including risk appetite;

- Satisfy itself, on behalf of the Board, that the University has implemented appropriate systems to identify, assess and mitigate significant business risk;

- Satisfy itself, on behalf of the Board, that the University has implemented appropriate systems of internal control to ensure compliance with legal, ethical and regulatory requirements and that these systems are operating effectively;
▪ Annually meet with the Executive Director of Risk Management to confirm that the function has the capacity and capabilities to perform the work plans, and sufficient organizational authority to facilitate the provision of complete, accurate and timely reports to the Committee;

▪ Receive reports annually on the Enterprise Risk Assessment;

▪ Receive regular reports from management on areas of significant enterprise risk to the University, including but not limited to, significant legal claims, environmental issues, health, safety, ethics, whistleblowing and other regulatory matters;

▪ Review insurance coverage annually to ensure all risks are addressed adequately and appropriately;

▪ Receive reports annually about Environmental Health and Safety; and

▪ At least once per year, review with General Counsel: a) any legal matters that could have a significant impact on the financial statements, and b) compliance with applicable laws and regulations and inquiries received from regulators or government agencies.

D. Other

Review no less than every two years, the Committee’s mandate, and recommend changes to the Governance Committee, Executive Committee, and Board, as necessary.

Perform such functions as may periodically be assigned to the Committee by the Board of Governors or the Executive Committee.

Membership, Qualifications, and Composition

The Committee shall be comprised of up to eleven (11) members appointed by the Board, including the Chair and Vice-Chair of the Committee. Only those members of the Committee who are community-at-large members shall be entitled to vote.

The following shall be *ex-officio* members of the Committee: the Board Chair, the Board Vice-Chair, and the President and Vice Chancellor.

All Committee members shall be financially literate in that they shall have the ability to read and understand financial statements, accounting practices and policies of a complexity comparable to the financial statements of the University.

Quorum

Quorum for meetings shall consist of one-half the number of members of the committee plus one, present in person, by teleconference, or by videoconference, at least one of whom must be the chair or vice-chair of the Committee.
**Revisions and Approvals:**

- 75th Meeting, Sept. 15/15 - deferred formal review until completion of By-law review in Spring 2016
- 599th Board of Governors Meeting, December 1, 2016, approved amended terms of reference for Governance Committee.
- 614th Board of Governors Meeting, March 28, 2019, approved revised terms of reference for Audit and Risk Committee to include Enterprise Risk Management.
Committee’s Role - Overview

The Audit and Risk Committee reviews and assesses recommendations and reports on the financial and internal controls and risk exposures of the University. The committee’s functions include review of the external audit, internal audit and enterprise risk management program financial framework, management, controls, and oversight of the enterprise risk management program of the University which includes. The Committee’s functions include review of financial reporting, internal controls, safeguarding of the University’s assets and general risk oversight of the identification, assessment, and mitigation of enterprise risks. The Committee monitors external and internal audits, confirms that the Auditors’ recommendations are given due consideration, and that the Auditors have independence in their relationships with the University Administration.

Specifically, the Audit Committee shall oversee the following areas:

1. Financial reporting processes to confirm transparency and integrity of financial reports;
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A. External Audit
In support of its mandate to oversee the external audit, the Committee will perform the following functions annually:

- Consider and recommend to the Board of Governors (the Board), the appointment of External Auditors.

- Review and recommend the approval of the annual audit letters of engagement, management, independence and scope of services as presented by the External Auditors to the Board of Governors.

- Review and recommend to the Board, approval of the annual audit fees and a list provided by the External Auditors describing their fees for other audits and non-audit services for the previous fiscal year.

- Review and recommend to the Board for approval the External Auditor’s audit plan, scope of examination and the nature of the level of support provided by administration.

- Review and recommend to the Board for approval the draft annual Audited Financial Statements and financial report, as to the reasonableness, fairness of presentation, appropriateness, acceptability of accounting principles, and adequacy of disclosure.

- Review and recommend to the Board for approval the draft annual Audited Pension Plan Statements as well as reviewing significant findings or recommendations submitted by the External Auditor or Pension Committee.

- Assess the effectiveness, completeness of the work performed by the External Auditors, the lead partner, and report the results of this assessment to the Board.

- Review material observations and recommendations made by the External Auditors during the audit and ensure that there is a process in place for response and/or correction of these matters as required.

- Meet privately with the External Auditor lead partner to confirm and assess that the audit function is independent, has the capacity, capabilities and cooperation to perform the audit plan and has ability to facilitate the provision of an independent report.

In support of its mandate to oversee the external audit, the Committee will perform the following functions, as required:

- Review the engagement of the External Auditors. Normally, a request for proposals for external audit services would be issued every five years.

- Review any requests to use the External Auditor’s firm for non-audit work as stipulated in Annex A The Use of External Auditor for Non-Audit Services and Related Fees Policy. Non-audit work to be considered for provision by the External Auditor’s firm will not
include any situations where the External Auditor’s firm will act in a managerial or strategic function or will involve either a potential conflict, impairment of independence or the appearance thereof. The Committee shall only permit the External Auditor to perform such non-audit work if the Committee has (a) received confirmation from the External Auditor that, in the External Auditor's opinion, doing such non-audit work will not place the External Auditor in a conflict (or the appearance thereof) nor impair the External Auditor's independence as required by the applicable professional audit standards and (b) received similar confirmation from the University’s Senior Administration that the proposed engagement is not a conflict of interest and complies with the related requirements and limitations expressed in these Terms of Reference and Annex A.

Where permission for non-audit work is required between regularly scheduled meetings of the Committee and time is of the essence, the Chair of the Committee has the delegated authority to complete the necessary review following the procedures noted above and in the Use of External Auditor for Non-Audit Services and Related Fees PolicyAnnex A, where the proposed non-audit work does not entail a total fee in excess of $50,000. The Chair will report the outcome of any such action to the Committee at its first scheduled meeting following such review. Notwithstanding the ability to use delegated authority, the Chair of the Committee may choose to consult with the Committee and/or engage its members in the decision-making on these matters.

B. Internal Audit

In support of its mandate to oversee the internal auditing process, the Committee will perform the following functions annually:

- **Annually**: Review and approve the annual internal audit plan and three-year work plan of the internal audit function presented by the Administration and the Internal Auditors.

- Receive a report for each internal audit with a synopsis of the results found and management’s response and plan for implementation of the recommendations.

- Receive a report (usually twice per year) on the status of implementation of all outstanding audit recommendations; and.

- At least annually, Meet privately with the Internal Auditor lead partner to confirm and assess that the internal audit function is independent (free of conflicts), has the capacity, capabilities, and cooperation to perform the audit plan and has ability to facilitate the provision of an independent report.
The Committee will perform the following functions as needed:

- Examine and report on any matters referred to the Committee by the Executive Committee of the Board.
- Review the effectiveness and cost structure of the Internal Audit function and recommend the service provider to the Board. Normally, a request for proposals for internal audit services would be issued every five years.

C. **Enterprise Risk Management**

- Review and approve annually, every five years, the Risk Management policy and framework for the University, including risk appetite.
- Satisfy itself, on behalf of the Board, that the University has implemented appropriate systems to identify, assess and mitigate significant business risk.
- Satisfy itself, on behalf of the Board, that the University has implemented appropriate systems of internal control to ensure compliance with legal, ethical and regulatory requirements and that these systems are operating effectively.
- Annually meet privately with the Executive Director of Risk and Insurance Services Management to confirm that the function has the capacity and capabilities to perform the work plans, and sufficient organizational authority to facilitate the provision of complete, accurate and timely reports to the Committee.
- Receive annually reports from the Director of Risk and Insurance Services on the Enterprise Risk Assessment on a periodic basis as determined by the Committee.
- Receive regular reports from management on areas of significant enterprise risk to the University, for example, including but not limited to, significant legal claims, environmental issues, health, safety, ethics, whistleblowing and other regulatory matters.
- Review insurance coverage annually to ensure all risks are addressed adequately and appropriately.
- Receive annually reports annually about Environmental Health and Safety.
- At least once per year, review with General Counsel: a) any legal matters that could have a significant impact on the financial statements, and b) compliance with applicable laws and regulations and inquiries received from regulators or government agencies.
- Receive annually reports about Environmental Health and Safety.
D. Other

Review no less than every two years, the Committee’s mandate, and recommend changes to the Governance Committee, Executive Committee, and Board, as necessary.

Perform such functions as may periodically be assigned to the Committee by the Board of Governors or the Executive Committee.

Membership, Qualifications, and Composition

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Revisions and Approvals:

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# ANNEX A

**Protocol Name:** Pre-approval of non-audit services, and related fees, provided by the External Auditors  
**Originating/Responsible Department:** Vice-President (Finance & Administration)  
**Approval Authority:** Board of Governors  
**Date of Original Policy:** September 1, 2017  
**Mandatory Revision Date:** September 2022  
**Contact:** Vice-President (Finance & Administration)

## Protocol:

The Audit and Risk Committee of the Board of Governors should ensure the External Auditor remain independent and free from conflicts or the appearance thereof. This can be achieved by reviewing and pre-approving all non-audit services and related fees being proposed by the External Auditor.

## Purpose:

This protocol establishes best practices in establishing quantitative and qualitative parameters used to monitor and ensure the independence of the External Auditor.

## Scope

The following approval of services other than statutory audits that the External Auditors might be called upon to perform, will apply:

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<th>Type of Service</th>
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<th>Approval Level</th>
<th>Rationale</th>
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<td>Other Audit Services</td>
<td>Audits of financial information, non-financial information, or internal controls/processes, performed using Canadian Auditing Standards</td>
<td>AVP, Financial Services or VP, Finance &amp; Administration</td>
<td>These audits are usually a requirement of government contribution agreements providing funding to the University for research, capital projects or other specific programs, and are performed concurrently with the financial statement audit,</td>
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<td>Tax-related services</td>
<td>Services relating to GST/HST, Payroll Taxes, Registered Charity Status, U.S. Tax, International Tax, etc.</td>
<td>AVP, Financial Services or VP, Finance &amp; Administration</td>
<td>Because the University is a registered charity, tax-related services impose little risk on an External Auditor’s independence</td>
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<td>Contingency fee arrangements have an increased risk to auditor independence</td>
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<td>Services relating to</td>
<td>Chair of the Audit and Risk Committee</td>
<td>Provision of advisory/consulting</td>
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of $50,000 or less

governance, risk,
financing, valuations,
costing, human
resources, information
technology, forensic,
actuarial, management
consulting, etc.

Committee

services may jeopardize the
independence of the External
Auditor; consequently, prior
approval should be sought to
ensure that independence (free
from conflict or the appearance
thereof) is preserved and that
the cost of such services does
not exceed the amount
indicated.

Advisory/Consulting
Services with a cost
greater than $50,000.

Services relating to
governance, risk,
financing, valuations,
costing, human
resources, information
technology, forensic,
actuarial, management
consulting, etc.

Audit and Risk
Committee

 Provision of advisory/consulting
services may jeopardize the
independence of the External
Auditor; consequently, prior
approval should be sought to
ensure that independence (free
from conflict or the appearance
thereof) is preserved.

1. Total Cost of Advisory/Consulting Services Provided by the External Auditor

The Audit and Risk Committee will monitor the total cost of advisory/consulting services provided by the External Auditor. The University’s protocol is that as a general rule, the total cost of advisory/consulting services provided by the External Auditor should not exceed three times the total cost of statutory and other audit services provided by the External Auditor, calculated on a three-year rolling average. In exceptional circumstances, the Audit and Risk Committee may approve advisory/consulting services above this threshold, with the expectation that the External Auditor would return to be within the threshold within a reasonable amount of time.

2. Reporting to Audit and Risk Committee by the External Auditor

In order to assist the Audit and Risk Committee in performing its duties, the External Auditor is required to present a summary of invoices and engagements to the Audit and Risk Committee. The summary will be presented to the Audit and Risk Committee twice annually in conjunction with the Audit Plan and the Audit Findings Report. This will allow the Audit and Risk Committee to ensure the independence of the External Auditor in a timely manner.

Contacts:

Vice-President, Finance & Administration; Assistant Vice-President, Financial Services.
Minutes of the 118th Meeting of the 
Advancement and University Relations Committee

Wednesday, April 20th, 2022 
Via Videoconference 

Present:  
K. Furlong (Chair) 
D. Greenberg 
B.A. Bacon 
L. Hayes 
G. Farrell 
N. Karhu 
D. Fortin 
E. Sloan 
G. Garland 
C. Tessier (Vice-Chair)

Regrets:  
A. Brown 
J. Taber 
K. von Finckenstein 

Guests:  
R. Drodge 
A. Mullin 

Staff:  
S. Blanchard 
R. Goubran 
J. Conley 
C. Khordoc 
L. Dyke 
S. Levitt 
T. Frost 
K. McKinley 
A. Goth (Recording Secretary) 
K. Solomon 

1. CALL TO ORDER AND VICE - CHAIR’S REMARKS

The meeting was called to order at 12:30 p.m. The chair acknowledged the Algonquin Nation’s traditional and unceded territory that members have gathered upon for the meeting.

2. DECLARATION OF CONFLICT OF INTEREST

The Chair asked if anyone on the Committee felt the need to declare a conflict of interest. There were none declared.

3. APPROVAL OF THE AGENDA

The agenda was circulated prior to the meeting. It was moved by C. Tessier and seconded by D. Greenberg that the Advancement and University Relations Committee approve the agenda of the 118th meeting, as presented. The motion carried unanimously.
4. APPROVAL OF MINUTES & BUSINESS ARISING

Minutes of the previous meeting were circulated in advance. It was moved by N. Karhu and seconded by G. Garland that the Advancement and University Relations Committee approve the minutes of the 117th meeting, as presented. The motion carried unanimously. There was no business arising from the previous minutes.

5. ITEMS(S) FOR APPROVAL

5.1 Board Award for Outstanding Community Achievement

An executive summary was circulated in advance.

The award is given for voluntary leadership contributions to Carleton and the community while balancing student work with strong academic excellence. E. Sloan, a member of the Board Award Jury, advised that following a review of 12 strong nominations the Jury reached a unanimous decision. The recommendation of Valentina Vera Gonzalez was supported through her strong academic record, exemplary volunteerism, involvement in student leadership roles, and membership on the University Senate. Of particular note was Gonzalez’s leadership within the Latin American Students Organization.

It was moved by E. Sloan and seconded by C. Tessier to recommend to the Board of Governors the approval of the Board Award Jury recommendation that Valentina Vera Gonzalez receive the Board of Governors Award for Outstanding Community Achievement for the 2021/22 academic year, as presented. The motion carried unanimously.

5.2 Founders Award

An executive summary was circulated in advance.

The Founders Award was previously administered by the Alumni Association Executive Council, however for 2022 onward it will be administered by the Board of Governors through the Advancement and University Relations Committee. It is awarded annually at convocation to an individual that has had a significant impact on Carleton. This year’s winner was a long-standing faculty member at Carleton, with an impressive academic background in the Institute of European, Russian and Eurasian Studies.

The Chair noted that there were a number of strong nominations which will be kept on file for future years.

It was moved by L. Hayes and seconded by D. Greenberg to recommend to the Board the approval of the Founders Award Jury recommendation that Professor Emeritus Dr. Carl McMillan receive Founders Award for the 2021/22 academic year, as presented. The motion carried unanimously.
6. ITEMS(S) FOR INFORMATION & DISCUSSION

6.1 Advancement Strategy 2021/2022 Update

A presentation was circulated in advance.

B. A. Bacon, President and Vice-Chancellor, reminded the committee that at the end of his first year as President the University closed a $308 million fundraising campaign, the largest in Carleton’s history. Since then, an annual average of $25-$30 million in fundraising was maintained. He credited J. Conley and her team with how they have strategized and modernized fundraising to support Carleton’s academic mission. Even during 2020/21, the first year of the pandemic year, Carleton raised $41 million, the biggest fundraising year in the University’s history.

J. Conley, Chief Advancement Officer, provided an update from the Department of University Advancement (DUA) on 2021/22 fiscal year objectives. DUA’s strategic approach including aligning with the vision to build “Partnerships with Purpose” with all of Carleton’s stakeholders and to “Give Through Not To” the University to invest in higher education as a means to address societal changes. The top three fundraising goals for 2021/22 were:

1) Revenue: maintain 3-year rolling average of $35 million and launch Phase 3 holistic integrated partnership;
2) Relationships: launch Phase 3 Hub for Good and Community Liaison, continue digital engagement transformation for stakeholders; and
3) Resilience: donor and talent retention through leadership, diversification and innovation to strengthen the nonprofit sector.

Revenue highlights as of March 29, 2022 included $40,600,000 total revenue made up of $10,800,000 philanthropic gifts, $5,000,000 gifts in kind, $1,200,000 in sponsorships and $23,200,000 in holistic and research partnerships. This included the transformational gift of $2.5 million from the Joyce Family Foundation to support bursaries for Indigenous students and more than $1.3 million raised on Giving Tuesday. Carleton’s progressive approach for investment in EDI has allowed donors to invest in areas of interest to them personally.

Relationship highlights included engagement with more than 20,000 donors worldwide through a comprehensive qualitative survey to aid in data-based decision making. DUA saw a 66% donor retention rate (an increase from 60% in 2020/21), which is above the industry standard for donor retention. The team was also able to connect with 5,000 alumni and partners in virtual programming, including Throwback, international outreach and an established partnership with new Centre for Community Engagement to promote Hub for Good as the Carleton “front door”.

Resilience highlights included the realignment of staff to reflect stakeholder needs and service objectives, the implementation of three major digital solutions, ThankView, Foleon, and Campaign Monitor, to enhance donor communication and stewardship. DUA also
established a new Donor Impact Team to focus on accountability and fulfillment of donor intent, which is essential for setting the stage for donors next gifts.

J. Conley provided an overview of the DUA’s processes, inputs, and strategies. Advancement’s driving force to make evidence-based and measurable fundraising strategies. Approximately 50 metrics are tracked to ensure appropriate pacing through monitoring and making adjustments in real time, as necessary. Process steps include:

1. Market Research: philanthropic trends, economic forecasts, donor feedback, and Canada Revenue Agency and privacy legislation;
2. Assessing priorities: feasibility students, needs assessments of communities served, and stakeholder socialization;
3. Research and Records: coordinating across campus, data management, prospect research, qualification, reputation assessment, and record keeping;
4. Outreach: web and social media tracking, email and direct mail response, surveys, phone outreach;
5. Engagement: international alumni engagement, community liaison, and volunteer activity;
6. Active Fundraising: discussion documents, direct response, donor behavior, and proposal feedback. This is not transactional and is focused on the long-term;
7. Gift Agreements: capturing donor intent, financial vehicles, risk and liability, approvals; and

6.2 Reputational Enhancement Project & Brand Campaign Update

A presentation was circulated in advance.

The Chair provided a brief introduction to the Brand Awareness Campaign and Reputational Enhancement Project.

B.A. Bacon advised that Carleton has been working on a brand campaign for almost two years and it is now in market. The campaign is progressing with creatives and gaining a positive response from stakeholders. He noted the importance of the branding campaign as it aims to close the gap between Carleton’s achievement and the public reputation and visibility of the institution.

T. Frost, Chief Communications Officer, introduced the Challenge Campaign and the steps that have gone into arriving at the implementation phase. The Brand Marketing campaign is focused on increasing awareness of Carleton and creating a larger pool of leads for the University to convert to students applying and accepting or philanthropists donating. The campaign process involves defining objectives, developing a strategy to target specific audiences, creating content, developing an effective channel mix and monitoring key performance indicators (KPIs).
The geographic focus of the Campaign is the City of Ottawa and the Greater Toronto Area (GTA) as well as other large, urban centres including Calgary, Edmonton, and Vancouver. The influencer campaign was launched on February 7, 2022 and it will be run, along with the undergraduate campaign, until June 30, 2022. The goals are to create awareness and profile, to demonstrate engagement with relevant global challenges, and to drive engagement and traffic to the campaign microsite.

The campaign targets two groups: influencers (business and community leaders, academic leaders, and government officials) and prospective undergraduate students. The campaign is based on a content strategy of storytelling themes looking to the focus of major news outlets, what opinion leaders are talking about, and the logs of Google for search topics.

The five themes of focus are: Tech for Good, Health and Wellness, the New Economy, Sustainability, and Social Innovation. The influencer campaign launched February 7, 2022 on Facebook, Instagram, Yahoo, the Globe and Mail/Globe Alliance, Twitter, and Google with the goal of influencing the Macleans reputational rankings.

T. Frost provided the example of the “Smart Homes for Seniors” tech for good story with a strong brand look, colour scheme, and challenge campaign idea featured throughout. Machine learning from the platforms decided which were the most successful ads, including video and static ads. Video ads had a 90% completion rate meaning that 90% of users that start watching the ad, finish the ad. He encouraged Board members to share the stories with their networks as well.

The Young Adult Campaign started on April 4, 2022 on Facebook, Instagram, Yahoo!, TikTok, and Google. The focus of this campaign was to solidify decisions around accepting an offer from Carleton and for applications to Carleton, with a more significant campaign kicking off in Fall 2022. These ads are designed to look less like advertisements and more like “native” content. Tentative steps have been taken in social media platforms, like TikTok. Working with Recruitment, the campaign identified the things that a student would be looking for if they arrived on the Carleton site, such as learn how to apply or take a campus tour. In two weeks, the site generated 8,000 clicks with half of those coming from TikTok.

Ads were launched for the Sprott School of Business, aimed at business leaders on LinkedIn and a number of professional channels. Sprott launched their own brand campaign in Fall 2021, in line with the Carleton brand.

T. Frost reviewed the high-level metrics. Nine weeks into the influencer campaign, there have been 55 million impressions, 90 thousand clicks, 165 thousand pages viewed on the story platform, and 2,300 other story reads (a tenfold increase over pre-campaign). The statistics from the campaign are provided by the agency weekly and the story performance and pageviews allows the Department of University Communications (DUC) to monitor which stories are doing well. Demographics and technology used was considered including country, city, gender, user age, and devices being used. Earned traditional media results showed that the stories are gaining traction.
Next steps include developing a full-year paid undergraduate and graduate strategy which will launch in September 2022, with the goal of aligning related marketing/recruitment materials and activities.

The Chair inquired if all the stories are already drafted or if this is organic and if DUC continues to engage the different communities within Carleton as new initiatives are happening. T. Frost responded that most of the stories are queued up as it takes a while to research the story, conduct interviews, and prepare the videos; however, there is always room for flexibility. The DUC tries to theme the stories around significant occurrences in the world.

A member inquired about the geographic locations of focus, why the locations of Calgary, Edmonton, and Vancouver were chosen, and if there are plans to target messaging outside of Canada. T. Frost advised that the targets were based on the optimal locations for focus as there is a limited budget for the ads and the five locations named are the biggest targets in Canada, with the highest number of prospective students. To extend the campaign internationally would need to be very purposefully done but it is something that should be considered in the future.

6.3 Government Relations Update

A presentation was circulated in advance.

B.A. Bacon spoke to the goal of professionalizing the Government Relations function, commenting that A. Mullin has made a difference in how Carleton is involved at the Municipal, Provincial, and Federal levels of government.

A. Mullin, Director of Government Relations (GR), provided an overview of the Government Relations Strategic Plan. The focus of the three-year strategic plan was on new and existing activities for Carleton - specifically to bring government to campus and campus to government, speak with a clear and distinct Carleton voice. To advance GR at Carleton the following have been implemented:
- an electoral strategy;
- increased resourcing through co-operative education; and
- expanded proactive engagement and reactive support.

GR has achieved three key results since September 2021:
- becoming strongly positioned on the strategic request with the City of Ottawa on the Regional Aquatic Centre and Wellness Hub
- encouraging co-op placements with the City of Ottawa through hiring quotas,
- coming prepared to engage with a renewed Provincial government, and
- proactively engaging with the Federal government on climate change research.

GR has created a committee with Faculty, DUC, and Alumni Relations to anticipate issues that may arise with government. Carleton has large asks before the Federal Government in the area of Sustainability and GR is working closely with the Research Office on these requests.
The focus for 2022/23 will be on engaging with the renewed governments at the provincial and municipal levels with collective messaging and shared approaches from other local institutions. GR is solidifying the University’s Federal government presence through a Carleton Caucus in collaboration with the Riddell School, 18 members of Parliament, and two senators.

The Chair asked for additional information and clarification on the Carleton Caucus. A. Mullin advised that the Caucus is a group of people that come together to share ideas. Within Parliament, these are groups formed to address specific issues, such as post-secondary education, that may cross party lines. The Carleton Caucus will be driven by affiliation and will likely hold two events per year, chaired by two individuals from different parties. It will be an opportunity to bring people together to share ideas in a more relaxed atmosphere and bring forward things that Carleton is trying to achieve with collaboration from the Federal level that would benefit from cross-party support. Building these affiliations are important to allow for opportunities to seek out support for Carleton through conversations.

The Chair commented that these relationships are often better fostered with in-person conversations. A. Mullin agreed. He is looking forward to seeing more people and fewer computer screens; however, he noted that there have been some advantages to the digital space. He noted that Carleton is well-positioned for these discussions, including issues regarding climate change.

6.4 Community Engagement Strategic Plan Update

A presentation was circulated in advance.

B. A. Bacon noted that “Serve Ottawa” is one of Carleton’s key strategic directions, which has historically been very grassroots based. Recently those objectives have been professionalized and better supported with the creation of the Centre for Community Engagement which is in the process of developing a strategic plan.

C. Trudel, Director of the Centre for Community Engagement, shared preliminary findings from the internal consultations for the Strategic Plan for Community Engagement (SP4CE). Since launching the Centre in October 2021, over 600 people from across Carleton have participated in sharing their views on community engagement and visions for the future in this area.

The emerging goals for the Centre included developing a model of government, developing partnerships, as well as measures and communications. Other topics that emerged from the conversations included EDI, recognizing cultural considerations, bi-lateral, non-hierarchical leadership, and the importance of places and innovation in community engagement. Other key themes included leveraging and improving the design of service/program/place for community impact and recognizing and supporting diverse groups in the engagement strategy. There was a strong focus on students as an important group in their experiences and as leaders.
Tensions, or differences in points of view, arose such as where efforts for community engagement should be focused. People identified pressures around time, resources, and lack of recognition for community-based work. The community also had differing views of the primary work of the Centre. The committee was surprised that few of the consultation discussions mentioned measurements and evaluation to assess community engagement. There were also discussions of how community engagement results in innovation and creativity, which speaks to a major theme in the Strategic Plan.

Next steps include the development of partnerships including with University Advancement and the Hub for Good. A report will be released in May 2022 for feedback and external consultations will take place over the summer. The official publication of SP4CE is anticipated for Fall 2022 and the launch of the implementation of the strategic plan will start in 2023.

K. Graham, Emerita Professor, School of Public Policy and Administration, added that C. Trudel and R. Drodge have been very deliberate in the consultation process, in terms of the listening phase, the nuanced reflection that is taking place to determine the best path forward for the Strategic Plan.

7. OTHER BUSINESS
The Chair recognized Allison Brown, Elinor Sloan, and Gail Garland’s last Advancement and University Relations committee meeting and thanked them for their contributions not only on the committee but also the Board over many years of service.

8. IN-CAMERA SESSION
An in-camera session was held.

9. ADJOURNMENT
There being no further business, the committee adjourned at approximately 2:30 pm.
Minutes of the 168th Meeting of the Building Program Committee
Monday, April 11th, 2022 at 10:00 a.m.
Via Videoconference

MINUTES

Present:
A. Tremblay (Chair)                     H. Khalsa
B. Creary (Vice-Chair)                  A. Keung
B.A. Bacon (President)                  B. Örnekci
P. Dion                                C. Tessier
D. Fortin                              A. Ullett
D. Greenberg

Staff:
S. Blanchard                           K. McKinley
L. Dyke                                 G. Nower
A. Goth (Recording Secretary)           
R. Goubran                              K. Solomon
S. Levitt                               J. Tomberlin

Regrets:                                
G. Farrell

Guests:                                 
A. McIlroy (Brook McIlroy)              J. Davidson (Book McIlroy)

1. CALL TO ORDER AND CHAIRMAN’S REMARKS

The Chair called the meeting to order at 10:00 a.m. She acknowledged the Algonquin Nation’s traditional and unceded territory that members have gathered upon for the meeting.

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. None were declared.

3. APPROVAL OF THE AGENDA

The agenda was circulated in advance.

It was moved by C. Tessier and seconded by B. Creary that the agenda of the 168th Building Program meeting be approved, as presented. The motion carried unanimously.
4. APPROVAL OF THE MINUTES AND BUSINESS ARISING

4.1 Minutes of Previous Meeting

The minutes of the 167th meeting of the Building Program Committee were circulated in advance.

It was moved by A. Ullett and seconded by H. Khalsa to approve that the minutes for the 167th Building Program Committee meeting, as presented. The motion carried unanimously.

4.2 Business Arising

4.2.1 Asbestos Inventory & Abatement Plan

G. Nower, Assistant Vice-President (Facilities Management and Planning), noted that the university has an Asbestos Abatement/Management Program which includes a full inventory conducted every five years. An updated inventory will be conducted over 2022. He commented that any buildings constructed prior to the 1980s likely have asbestos-containing materials. Carleton’s asbestos inventory is updated on an annual basis and in the event of a renovation, alternation or repair, if asbestos is present, it will be abated if the activity could disturb the asbestos present.

The university has an Asbestos Management Policy and Environmental Health and Safety has created Asbestos Awareness Training modules available to all employees.

5. Items for Information and Discussion

5.1 Campus Master Plan Renewal Process Update

An executive summary and presentation were circulated in advance.

The Chair introduced the Campus Master Plan. The Plan, in place since 2010, is updated every five years. Brook McIlroy is retained to assist with the Campus Master Plan renewal.

L. Dyke, Vice-President (Finance and Administration), noted that the Campus Master Plan is a vision for the long-term future that needs to align and support the University’s existing plans, like the Strategic Integrated Plan (SIP), the Strive for Sustainability Plan, and the Transportation Plan. The consultation phase has been launched and a dedicated website is being established. L. Dyke introduced A. McIlroy and J. Davidson of Brooke McIlroy who presented on the Critical Success Factors, Outcomes, Integration, Project Schedule, and Plans for Community Engagement for the project.
A. McIlroy introduced her core team, including Parsons (Civil Engineering), Purpose Building (Sustainability), and Level Playing Field (Accessibility) as well as the Campus Master Plan Steering Committee which includes senior leadership.

Stemming from the SIP’s strategic direction of *Share Knowledge Shape the Future*, the plan will capitalize on the campus to build an exceptional environment for learning. Carleton has an extensive campus, building towards its edges, which has implications for its image and impacts on the river and canal as well as how the University is viewed from Bronson Avenue. Bronson Avenue is a high-volume street that could become more civic as Carleton expresses its edge with gateways, open space, and new buildings.

The second strategic direction of *Serve Ottawa Serve the World* will link to the Plan by the continued creation of an inclusive campus where the community see themselves reflected. The plan will maintain as much valuable open space as possible and capitalize on the best use of land and its resources by intensifying key locations while preserving the natural environment. A focus will be on making the campus more outwards facing with a more permeable boundary with the surrounding community. The plan will prioritize Indigenous inclusion and has partnered with Indigenous Studio who were key partners for the development of the Open Space Master Plan.

The third strategic direction of *Strive for Wellness Strive for Sustainability* is prioritized through sustainable, well-scaled built form that integrate with Carleton’s exceptional setting on the Rideau Canal and the Rideau River to provide a healthy environment for the inhabitants while showcasing Carleton as a leader in physical, social wellbeing and addressing climate change.

Key outcomes from the Open Space Master Plan include:

a) Campus Avenue Quad: one of the first experiences people have when arriving on campus by transit;

b) Main Library Quad: redesigns for how the space can embrace more organic forms and accessible use of the space;

c) Indigenous Learning Place: incorporates Indigenous practices, improving accessibility, adding a new water feature, medicine garden, fire circle, and places to congregate; and

d) Alumni Park: creating a new, all-season space including an ice-skating trail, summer events area, and flexible seating.

Improvements to mobility for pedestrians, cyclists, buses, and motorists on campus is an integral part of the Transportation Master Plan. The Campus Master Plan will recognize the initiatives of the Transportation Plan including linkages beyond the campus borders, across the river, and across the canal and into the community.

The goal for the Campus Master Plan update is to set the stage for new buildings and landscapes. When planning for new buildings and outdoor spaces, buildings must fit with existing forms of the campus. Parametric design systems have been developed which involves adjusting design parameters and allowing the algorithm to generate a series of options of different building footprints. This approach allows for the exploration of a
variety of concepts and approaches for how buildings can relate to the landscape and contribute to an overall sense of place.

The general project schedule and the engagement opportunities through the Campus Master Plan update process were outlined. The project included three phases:

Phase 1: Background Study and Visioning: currently undertaking studies and visioning sessions, online engagement through “Bang the Table” (January – May 2022);

Phase 2: Design and Development Alternatives: review plans and alternative concepts and recommendations, seeking feedback from campus community (June – September 2022); and

Phase 3: Campus Master Plan Development: presenting campus Master Plan to Project Committee, Campus Community Open House (October – December 2022).

Community engagement is planned into each of the three phases, including sustainability and accessibility workshops. Virtual engagement and open houses will be part of all phases as well as internal and external stakeholder discussions.

A member asked about the Key Outcomes diagram which included greenspace along the river and if there were any plans for this space. A. McIlroy responded that the outdoor open space plan this area would be open and protected while providing pathways.

A member inquired about the consultation process. J. Davidson responded that interviews will be either a one-on-one or small group discussion and there will be strategic outreach for these consultations.

A member commented about the walkways in the quads suggested in the plans. They understand the accessibility component but would prefer to keep as much of the greenspaces as possible as many university students utilize the grass. A. McIlroy advised that the concept diagrams from the quadrangles indicate where pathways can go. When these go to the design stage, the balance between pathways and green space will be considered. Given the natural setting, the more the greenspace can be brought back into campus, the greater the sense of wellbeing for its inhabitants.

B.A. Bacon commented that it is reassuring to be working with Brook McIlroy on the updated Campus Master Plan. He highlighted that this is an evolution, checking to make sure that the University is in sync with campus needs in the short and long term. In the past five years, a lot of work has been done on transportation strategy, open spaces, sustainability, and Indigenous spaces. The Plan is the opportunity to bring everything together.
5.2 Capital Planning Policy – An Overview

The Capital Planning Policy and a presentation were circulated in advance.

A. Goth prepared an overview as requested by the committee and noted that the policy ties in with the Campus Master Plan.

G. Nower Assistant Vice-President (Facilities Management and Planning), provided a brief background advising that the policy is a guiding document used to incorporate the Campus Master Plan, the Open Space Master Plan, Academic plans into the build form to guide and prioritize the capital projects. The guidance includes building best practices and principles for development, design, and construction. The policy defines the norms for carrying out capital projects with a robust governance process and established guidelines for approval and reporting practices.

A. Goth, University Secretary, outlined that the Capital Planning Policy sets out the approach to campus development and established reporting and approval requirements. The policy had a major rewrite in 2019 which included the introduction of a more defined process for project approvals and touchpoints with the Board of Governors. A. Goth walked the committee through the entire policy, the associated approval steps for and reporting on projects.

Throughout project, status updates are brought to the Building Program Committee including work completed, any issues that arise, and the estimates completion date. At the end of the project, a Project Conclusion Report is completed and provides an overall purpose and background, project description and performance, final project schedule and costs, as well as an overall assessment and lessons learned for future projects.

B.A. Bacon, President and Vice-Chancellor, responded to the member’s question on the interaction between the Board and Management on large capital projects, noting it is management’s responsibility to bring the Board along from the very beginning, even before the first approval, to make sure that the Board understands what management is hoping to do and why. The responsibility of the Board is oversight, approvals and to provide advice and guidance along the way. There is mutual respect between the role with constant communication.

**ACTION:** A. Goth to create onboarding module on An Overview of the Capital Planning Policy for Board Intranet.

The Chair inquired how long this policy has been in place. A. Goth responded that the policy was rewritten in 2019. It will be reviewed by 2024 and there will be a touchpoint with the Committee in advance of that review.

5.3 Ongoing Capital Projects Status Report

An executive summary was circulated in advance.

The Chair noted that the Ongoing Capital Projects Status Report provides a budget update on the overall funds spent on major capital projects, capital renewal, facility renewal, and the transportation fund budget.
G. Nower provided an overview of the report providing the following key updates:

- The Co-Generation Facility $1.2 million incentive payment received;
- The Engineering Design Centre will reach substantial completion at the end of April 2022;
- Ground has broken on the new student residence, site work has started, and bid packages are going out to the market mid-April 2022;
- The Loeb Building is currently working towards fixing the issue with the exit stairs, which is out for design;
- Paterson Hall - Carleton is looking into the Heritage registry as the building is on the watch list and more information is required;
- Sustainability Research Centre: the design team is finalizing the schematic design, expects to be completed this month;
- High-voltage assessment five-year renewal plan is underway; and
- Tunnel and campus ventilation upgrades should be completed in May 2022.

5.4 Capital Renewal (Deferred Maintenance) Plan for 2022-23

An executive summary was circulated in advance.

The Chair noted that Carleton has a number of aging buildings with an average building age of 40 years. Managing these assets involves careful allocation of the annual capital renewal and facilities renewal program budget to address those campus needs while mitigating infrastructure risks. The Capital Renewal Plan identifies priorities for the 2022-23 year, with a focus on updating aging infrastructure.

G. Nower noted that there is a budget for capital renewal of $14 million annually, but the University is also eligible for another $4 million from the Province for the facilities renewal program, for a total of $18 million.

Carleton’s buildings are audited on a regular cycle with 25% of the campus buildings being audited annually. Independent third-party auditors that work with post-secondary institutions in Ontario upload the data to a VFA Capital Planning Database where Carleton can access data to assess needs and conduct a risk analysis. Carleton also uses the data from the Province, institutional knowledge, and input from clients to put together a list of priorities.

Carleton’s top priority infrastructure are sewers and watermains, general mechanical like HVAC, building envelope, roof replacements, tunnel improvements and rehabilitations, high-voltage electrical upgrades to distribution system, Bronson Substation feasibility study with the implementation next year. Other updates will include chill water improvements, smoke control on Dunton Tower, campus perimeter security replacement and enhancement, asbestos abatement, cooling tower replacement in the library, general upgrades in classrooms, and energy management.

A member noted that the Carleton Dominion Chalmers Centre (CDCC) building was not included in the listing. G. Nower advised that CDCC operates as an ancillary and therefore a
portion of revenues from their activities would be put toward capital renewal. The University supports the CDCC building with its activities and a Master Plan was done for the site.

**ACTION:** B. A. Bacon commented that it would be timely to bring the committee an update on the CDCC building in 2022/23.

### 6. OTHER BUSINESS

The Chair noted that this is the last meeting for the year and for a number of the committee members. She thanked the committee members for their engagement, participation, questions and thanked senior management for their work.

She recognized D. Fortin, B. Örmeci, and H. Khalsa who were leaving the committee for their contributions to the committee.

L. Dyke advised that Carleton has received a gold institutional rating from the Association for the Advancement of Sustainability in Higher Education. It was an extensive assessment and this was Carleton’s first time submitting.

### 7. IN-CAMERA SESSION

An in-camera session was held.

### 8. ADJOURNMENT

There being no further business, it was moved by B. Creary and seconded by A. Ullett to adjourn the meeting at approximately 11:33 am. The motion carried unanimously.
Minutes of the 311th Finance Committee
Monday, April 11th, 2022 at 12:30 p.m.
Via Videoconference

Present:  P. Dion (Chair)                     H. Heppler
          D. Alves (Vice-Chair)                 N. Karhu
          B.A. Bacon (President)                S. Mingie
          D. Fortin                            P. Smith
          M. Fraser                            A. Tremblay

Staff:    S. Blanchard                      A. Marcotte
          L. Dyke                              K. McKinley
          A. Goth (Recording Secretary)        N. Merriman
          R. Goubran                           J. Mihalic
          C. Khordoc                          G. Nower
          T. Lackey                           B. Springer
          S. Levitt                           T. Sullivan
          N. MacDonald                         J. Tomberlin

Regrets:  G. Farrell

1. CALL TO ORDER AND CHAIR’S REMARKS

The meeting was called to order at 12:30 p.m.

The Chair noted that this was the last committee meeting for a number of Board members, including D. Fortin, H. Heppler, and D. Alves.

The chair acknowledged the Algonquin Nation’s traditional and unceded territory that members have gathered upon for the meeting. He welcomed all committee members and Carleton’s executive and finance team to the meeting.

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. D. Alves declared a conflict of interest on item 5.6 - Appointment of External member to the Investment Committee and left for that portion of the meeting.
3. **APPROVAL OF AGENDA**

The agenda was circulated in advance. It was moved by P. Smith and seconded by A. Tremblay to approve the agenda for the 311\textsuperscript{th} 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 310\textsuperscript{th} meeting of the Finance Committee were circulated in advance.

A member inquired re: item 5.6 and the debt service ratio and that changes to the policy would reflect “no additional changes requested” in the minutes.

It was moved by S. Mingie and seconded by P. Smith that the minutes of the 310\textsuperscript{th} meeting of the Finance Committee be approved, as amended. The motion carried unanimously.

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

5.1 **2022/2023 Tuition Fees**

An executive summary and presentation were circulated in advance.

The Chair advised that the Province of Ontario introduced tuition framework changes, including the freeze on domestic tuition but with permitted increases for out-of-province domestic students and international students. J. Tomberlin, Provost and Vice President Academic, advised that there are three parts to the tuition free item including domestic-in province, out-of-province, and international fees.

The domestic free structure is regulated by the Provincial Tuition Policy Framework. In 2019-20, all domestic tuition fees were reduced by 10\% under the provincial government tuition framework. In 2020-21, all domestic tuition fees were held constant at the 2019-20 levels. In 2021-22, domestic tuition fees for Ontario residents were held constant at the 2019-20 levels but a 3\% tuition increase was permitted for out-of-province domestic students. The Province has now released the details for the 2022-23 Tuition Framework indicating that:

- Tuition continues to be frozen for domestic Ontario residents; and
- Tuition can be increased 5\% for out-of-province domestic students.

It is estimated that if out-of-province domestic student tuition is increased by 5\%, it would result in approx. $800,000 in increased tuition revenue for 2022-23.
With respect to international tuition, Carleton is below the Ontario average and the University of Ottawa for similar degrees. It is anticipated that other institutions will continue to increase international tuition along similar rates from past years. Carleton did increase international tuition 2021-22 and has proposed the same increase over the next two years. These fees are unregulated and the University is not restricted. The proposed increase for undergraduate degrees range from 5% to 8%, 3% for Masters, and 0% for PhDs. The rates are based on a competitive analysis of institutions across Ontario, a discussion at the Provost Budget Working Group, and consultation with the Deans. The framework is proposed for the next two years to provide some predictability for international tuition.

A member noted that Carleton is below the average for domestic tuition and wondered if under the new funding model, if there will be an opportunity to catch up to the average or will Carleton always be below the average. J. Tomberlin responded that there was an opportunity in the past for certain professional degrees were allowed to increase their tuition at a higher rate but for quite a while no flexibility to permit an across the board tuition increases. There were previous opportunities to raise some degrees by up to 5% but universities were tied to an overall 3% increase. No changes to the model in the foreseeable future are expected.

B. A. Bacon, President and Vice-Chancellor, noted that the differentiation in this framework for out-of-province domestic students is something that all universities are still struggling with in terms of how to approach it philosophically and technically. He recommends amending to the motion to say “up to 5% increase” with a final decision to be made at the upcoming Board meeting.

A member agreed with B.A. Bacon’s amendment and noted for the international increase and the criteria for establishing that amount, and inquired as to who Carleton’s biggest competitors are on a program by program basis. J. Tomberlin responded that the tables show University of Ottawa as they are Carleton’s most direct competitor and this is a consideration in setting the tuition fees. B.A. Bacon responded that the post-secondary sector needs to be careful with certain international markets where lower tuition fees are not always attractive and can be interpreted as a lack of quality.

It was moved by A. Tremblay and seconded by D. Alves to recommend that the Board of Governors the approval of a freeze in domestic tuition fees for Ontario residents in 2022-23, as per the 2022-23 Ontario Tuition Framework, as presented. The motion carried unanimously.

It was moved by S. Mingie and seconded by A. Tremblay to recommend that the Board of Governors the approval of an up to 5% increase in domestic tuition fees for out-of-province students in 2022-23, as per the 2022-23 Ontario Tuition Framework, as amended. The motion carried unanimously.

It was moved by A. Tremblay and seconded by S. Mingie to recommend that the Board of Governors the approval of the proposed increases to the international tuition fees as presented per year for 2022-23 and 2023-24, as presented. The motion carried.
5.2 2022/23 Miscellaneous Administrative Fees

An executive summary and presentation were circulated in advance.

L. Dyke, Vice-President Finance and Administration, advised that the miscellaneous administrative fees cover a wide range of services including co-op and career services, late payment fees, etc. Increases are proposed in line with expected inflationary increases and in tandem with the University of Ottawa and range from 0% to 4.3%.

The Chair asked if any of the fees are controversial with students. L. Dyke responded that some of the bigger items in terms of a dollar amount would be the co-op and career services fee (4.2% = $17.50), but expressed that students continue to see value in those services. She is not aware of any particular sensitivities.

A member acknowledged the value from these services and most of these increases are just accounting for inflation.

It was moved by H. Heppler and seconded by D. Alves to recommend to the Board of Governors, the approval of the Miscellaneous Administrative fees to be charged beginning May 1, 2022, as presented. The motion carried unanimously.

5.3 2022/2023 Student Association Fees

An executive summary was circulated in advance.

L. Dyke advised that the student associations charge fees for their activities and the University collects those fees on the association’s behalf. These charges are reviewed annually and, with the exception of the new school of Public Policy and Administration fee, all of the fees presented for 2022/23 are existing fees which either remain unchanged or have been increased subsequent to student referenda or by the Ancillary Fee Committee in line with inflation. The changes are recommended for implementation as of September 1, 2022.

It was moved by S. Mingie and seconded by A. Tremblay to recommend to the Board of Governors, the approval of the 2022-23 Student Association Fees, as presented. The motion carried unanimously.

5.4 2022/2023 Operating Budget

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

B.A. Bacon advised that management will be presenting a balanced budget for review by the Committee and recommendation to the Board. The budget process is robust, solid, and effective. It is open and transparent with all twelve members of the Resource Planning Committee (RPC) Chairs seeing all budget requests and collective decision. The Ontario University Sector remains limited in its ability to generate new revenues as tuition fees for domestic students remain frozen as are government grants. The budget being presented is conservative, with total revenues and
expenses at $521 million. Revenues are driven by enrolment and he is confident that Carleton will meet the targets for enrolment in Fall 2022. There is some uncertainty related to the pandemic but now that this is the third pandemic budget, the University has adapted to these new conditions; however, pandemic contingencies are available, if required.

J. Tomberlin thanked the team for developing the 2022-23 Budget. He provided a brief overview of the Carleton Planning Framework and key dates in the budget planning process. The planning principles are geared towards enhancing Carleton’s academic mission. Other planning principles include achieving the goals set out in the Strategic Integrated Plan (SIP), achieving the Strategic Mandate Agreement (SMA3) performance targets, transparency and clarity, financial stability and sustainability, financial flexibility to respond to pandemic-related events or other unanticipated events, and revenue generation and diversification.

The 2022-23 operating priorities include those in the SIP and to set Carleton up for continued success following the public health crisis. Longer-term priorities include diversifying and increasing revenue from sources other than government and investing in cost containment strategies to promote smart use of resources.

The Budget Prioritization Process involves each of the RPC chairs submitting planning and budget proposals outlining the following:

- Progress on 2021-22 plans and priorities;
- Plans and priorities for the coming year;
- Usage of carry forward funds over a three-year period (aiming for 10% of total budget going forward); and
- Requests for additional resources, referring to institutional priorities and distinguishing between base and fiscal requests.

The Provost Budget Working Group reviewed those plans and requests against all the priorities and considered the feedback received from the RPC Chairs in their presentations before making recommendations for resource allocations for 2022-23. The next step was to determine new funds being invested in strategic initiatives, which depends on an environmental scan and budget assumptions in a five-year plan.

The aim was to maintain a balance budget, considering a number of budget pressures including acknowledging the significant provincial deficit. Management also considered the Strategic Mandate Agreement and its corridor model for performance-based funding. Other budget pressures include the anticipated continued domestic tuition freeze, changes in enrolment patterns including international students and domestic students not traveling to Ottawa. Other concerns include increases in university budgets, information technology needs, deferred building maintenance, and recurring fiscal-only investments.

The Chair highlighted the provincial government deficit being the top budget pressure and noted that the federal government budget, which is undertaking a program review and tightening of spending. He suggested that due to pandemic spending, should the provincial government be re-elected there will likely be budget tightening and it is right to make conservative budget
The five-year budget is based on assumptions for both revenues and expenses. The budget is based on stable enrolment over the planning horizon, assuming no increase in domestic tuition fees in 2022-23 or 2023-24 with modest increases thereafter, increases in international fees based on the proposed framework. He noted that the increase to out-of-province domestic tuition was not included in this assumption. The budget anticipated government funding being frozen over the planning horizon and anticipated salaries and benefits based on the legislated salary cap of 1% per year, inflationary non-salary central cost increase, and no pension special payment reserve contributions required.

As of March 22, 2022, the student application trend showed a 2.2% increase in applications, slightly above the Ontario average. The Ottawa area is showing a 2% decline but this was after a 5% increase last year, likely due to students seeking to enrol closer to home during the pandemic. Offers are up 2.8% from this time in 2021.

Enrolment and Tuition Revenue Assumptions include undergraduate and domestic graduate intake being flat; international graduate intake increasing 2% in 2022, intake increasing 1% Domestic, and a 2% increase in international student starting in 2023. Retention/transition saw an increase over the pandemic so the assumption is based on a 3-year moving average. Domestic tuition is anticipated to be flat in 2022/23 and 2023-24 with modest increases starting in 2024-25. International tuition is anticipated to increase throughout as it has in current/previous years. In terms of government funding, it is assumed that the grants remain frozen and the corridor model remains in place with no additional funding for enrolment increases. Carleton’s revenues are based on Total Enrolment Annualized Full-Time Equivalent (FTE), which has shown a modest increase but the budget assumes flat FTEs over this period.

The five-year financial forecast is conservative for the University’s base budget allocations. The RPCs were encouraged to use existing carry forward which was reinforced through conservative budget allocations.

A summary of the 2022-23 Operating Budget was provided, and J. Tomberlin highlighted that assumptions include: flat government grants, tuition fees with modest growth, conservative forecast of investment income, and forecasted revenue matching forecasted expenses of approximately $521 million. The 2021-22 Projected Results showed an anticipated $6 million shortfall in operating based on the conservative investment income which will be covered by a planned contingency. He noted that the investment income will likely be higher than projected and that the planned contingency will not be needed to cover the operating shortfall.

The Chair inquired as to the meaning of “enrolment incentive” in the context of the projected expenses. J. Tomberlin responded that these funds are not directed to students, rather the funds go to Faculties to support the increased numbers of students. It encourages Faculties to offer programs that students want to enrol in and to develop courses that students want to enrol in. It is a budget allocation.
Year-over-year expense changes included a $20 million variance in salaries and benefits, it includes faculty self-funding which has not been used before to hire new faculty, which is $5 million, increases in benefits of $3 million, and a $1 million increase in funding for teaching assistants. There is a $1 million increase in student support, which is primarily undergraduate support as the increased support for graduate students is included under salaries. Campus infrastructure is up $3 million and other operating expenses are down $18 million. The portion of undesignated ELBA funds along with a portion of faculty provisions and contingencies are being used to support hiring. Up until this hiring, these funds had been contributing to the faculty’s year-over-year increase in carry-forward but now they are choosing to increase their hiring and the decrease in the other operating expenses represents a mixture in the reduction in the amount of funds reserved for fiscal allocations in future years, which is $2.9 million for 2022-23 compared to $6.8 million in 2021-22.

To summarize the 2022-23 Allocations, $1.5 million was allocated in base and $11.2 in fiscal to the Resource Planning Committees. The University Budgets were increased from $5.9 million in base and $7.7 million in fiscal and new contingencies were added ($2.4 million base and $3.0 million fiscal) for a total allocation of $9.8 million in base and $21.9 million in fiscal.

The 2022-23 Allocations for Provisions and Contingencies includes a -$0.5 million in base and fiscal from the ELBA Enrolment incentive because it has been transferred out of this contingency into faculty budgets. There is still $22.9 million base and $23.4 million fiscal in total provisions and contingencies.

B.A. Bacon noted that overall, the budget is conservative and that over the entire budget, the new allocations that have been made are at the margins to reflect that Provincial and Federal governments will freeze or perhaps reduce funding. The allocations that have been made are strategic.

A member noted that the first-year applications and acceptances were down slightly at the start of the pandemic but was made up by higher student retention and summer enrolment. They wondered if the cohorts would level out. J. Tomberlin responded that the modeling is based on the cohorts at the size that they were. If there is a reduced cohort in first-year, this will take time to go through the system which is why there is a flat forecast in total FTEs going forward. He does not think that the retention levels will remain quite as high, but noted that there have been changes to grading practices, providing first-year students with more assistance and latitude which will help to maintain some of that retention increase.

It was moved by D. Alves and seconded by M. Fraser to recommend to the Board of Governors, the approval of the 2022-23 Operating Budget, as presented. The motion carried unanimously.

5.5 Statement of Investment Policies and Procedures for the Retirement Fund

An executive summary and report were circulated in advance.

The Chair noted that the Pension Benefits Act of Ontario requires that a Statement of Investment Policies and Procedures (SIPP) for every registered pension plan to ensure that the beneficiaries
continue to receive stable retirement income. The changes to the SIPP reflect the changes from the Responsible Investment (RI) policy.

B. Springer, advised that the SIPP is a foundational document, laying out the asset mix of the fund, acceptable investments, return expectations, manager mandates, investment beliefs, stakeholders, and the RI policy. The SIPP must be reviewed and approved annually, as required by the Pension Benefits Act. The major update to the SIPP is with respect to the new RI policy, with all the other items being regular housekeeping. Changes to the SIPP are effective at the time of the amendment. She noted that the Pension Committee is involved in looking at the asset mix and potential changes to this mix and the managers. The group is looking at reducing exposure to public equities and possibly private equities, but this will go into effect after June 30, 2022.

It was moved by H. Heppler and seconded by D. Alves, moved to recommend to the Board of Governors the approval of the Statement of Investment Policies and Procedures for the Trust Fund Created under the Carleton University Retirement Plan, dated June 30, 2022, as presented. The motion carried unanimously.

5.6 Appointment of External member to the Investment Committee

An executive summary was circulated in advance.

D. Alves left the meeting citing a conflict of interest for this item.

B. Springer advised that the Investment Committee oversees the investment of the Endowment Fund and the Non-Endowed Operating Funds. The Committee reviews and develops investment policies, reviews the distribution rate that is paid out on the endowments, monitors investment performance, and hires external investment counsel. The Terms of Reference of this Committee state that there can be two or more external individuals on the committee. Currently P. Dion is on the committee, as well as several former Chairs of the Finance Committee, noting that historically, the external members have been incredibly helpful. B. Springer noted that D. Alves was previously the Chief Investment Officer at the CBC Pension Fund and is particularly good with the students and the Student Investment Fund and it would be a benefit to Carleton to have her stay on with the Committee for a three-year term.

B.A. Bacon supported this appointment and that it would be beneficial for D. Alves to continue to be connected with Carleton.

The Chair commented that D. Alves has great insights and has the skills of a great leader and her role in the Investment Committee would allow Carlton to benefit from something that is central to its wellbeing.

It was moved by S. Mingie seconded by P. Smith to recommend to the Board of Governors, the recommendation of the Investment Committee to appoint Debra Alves as an external member of the Committee for a three-year term effective July 1, 2022, as presented. The motion carried unanimously.
6. ITEM(S) FOR INFORMATION

6.1 Investment Report on the Endowment

An executive summary was circulated in advance.

The Chair provided a brief introduction, noting that an investment report on the Endowment is an annual report with information on investment returns.

B. Springer advised that the investment report relates to the Endowment Fund (the General Endowment, the Sprott Bursary, and the Jarislowsky Chair in Water and Global Health). The report also touches on the Student Investment Fund. The report is as at December 31, 2021 and at that time, the return was at 12.1%. The Endowment Fund has an annual distribution rate of 4% of a moving, 4-year market value, and the University seeks to cover inflation. Over 4 years, the Endowment returned just under 10%.

For the asset mix for the General Endowment, the University is currently overweight on fixed income (currently at 27% with a target of 20%) and underweight on infrastructure (currently at 7% with a target of 15%). The student fund has done very well with a four-year return of 20% and the students themselves have demonstrated growth in terms of how they articulate their investment decisions and are spending more time on Responsible Investing (RI) and an Environmental, Social, and Governance (ESG) analysis as it applies to their portfolio.

Regarding the RI Policy, when the Policy was released, the commitment was made not to hold any direct investments in fossil fuel stocks in the Endowment or Non-endowed operating funds which was implemented immediately. The Investment Committee is now moving on to establishing targets for measuring the carbon footprint of the portfolios and before the end of 2022, the committee will bring forward a recommendation on how to establish a Fossil-Fuel Free Fund which will be available for donors.

The Chair noted the risk profile and dashboard in section 9, inquired why financial risk was assessed as a “medium risk”. B. Springer responded that there are risks such as volatility in the capital markets but much of the work of the Investment Committee is to mitigate that risk.

6.2 2021/2022 Provincial Metric Ratios

A presentation was circulated in advance.

The Council of Ontario Universities (COU) and Ministry of Colleges and Universities came up with five metrics to monitor over time Universities’ financial position:

1) Net Income/Loss Ratio – as a percentage of total revenues, Carleton has remained stable at approximately 6%, slightly below the Ontario average of 7% in 2020-21;
2) Primary Reserve Ratio – expendable net assets divided by total expenditures to calculate the number of days the University could operate without receiving any revenue. Carleton’s ratio has increased from 266 to 272;
3) Viability Ratio – reserved divided by total long-term debt. In this metric, a higher ratio is preferred and Carlton’s ratio has increased from 770% in 2019-20 to 857% in 2020-21;

4) Interest Burden Ratio – interest payments on debt as a percentage of total expenses. A lower ratio is desirable for this metric and Carleton has remained at 0.5% (from 2019-20 to 2020-21); and

5) Net Operating Revenues Ratio – net cash flows as a percentage of total revenue. A positive percentage is desirable and Carleton increase from 2.9% in 2019-20 to 12.1% in 2020-21.

Carleton is a bit above the sector average for net income/loss ratio and net operating revenues ratio but is performing above the Ontario average for the other three metrics. If the recent bond were included, the viability ratio would have gone from 857% to 171%, which would have still been above average. The interest burden would have gone from 0.5% to 1.7% which is still below the average of 2.1%.

The Chair asked to what extent do the events at Laurentian University skew these results over the past year. T. Sullivan advised that Laurentian was not included in the average calculations as it was an outlier.

A member inquired in regulated industries there are regulated ratios include the Own Risk Solvency Ratio and asked if universities make this type of calculation as well. T. Sullivan advised that T. Lackey considers financial viability as part of the Top 10 Risk indicators and the strong budget process mitigates that risk.

6.3 Ongoing Capital Projects Budget Status Report

An executive summary was circulated in advance.

G. Nower, Assistant Vice-President - Facilities Management and Planning, provided a verbal update on the project highlights including:

- Carleton will be receiving a $1.2 million incentive for the Cogeneration Facility;
- The Engineering Design Centre, substantial performance is expected this month;
- New student residence had a ground breaking and work has started;
- Loeb Building starting process of bringing exit stairs to code;
- Patterson Hall remedial work on the podium, entrance way, noting this building is on the Heritage Building Watch List;
- Sustainability Research Centre – the schematic design is under review;
- High-Voltage Assessment and five-year renewal plan, assessment is being completed and the updates will be undertaken;
- Bronson Substation will be looked at in the coming year;
• Campus ventilation upgrades – letters from consults confirming they meet the standards with respect to COVID-19 and the tunnel ventilation program should be completed in May 2022; and
• Piloting a UV light system in the Azrieli Pavilion as a COVID-19 mitigation method and pending the outcome of that study it will be rolled out in all the ventilation systems across campus.

The Chair inquired about the status of the Campus Master Plan Renewal. A. Tremblay, as chair of the Building Program Committee, responded that she was pleased to see that the Campus Master Plan Renewal is entering its consultation phase. G. Nower added that it is an opportunity to align a number of campus initiatives such as the Space Master Plan, Open Space Plan and the Transportation Master Plan.

7. OTHER BUSINESS

The Chair noted that this is the last Finance Committee meeting of this cycle and thanked all the members, noting those who are finishing with the Committee. He thanked B. Springer for her work as she will be retiring in June. He also thanked T. Lackey who will also be retiring in June.

8. IN-CAMERA SESSION

An in-camera session was held with the President and University Secretary.

9. ADJOURNMENT

There being no further business, the meeting adjourned at approximately 2:30 p.m.
1.0 PURPOSE
☐ For Approval ☒ For Information ☐ For Discussion

2.0 MOTION
This report is for information only.

3.0 EXECUTIVE SUMMARY
Carleton University has had a Campus Master Plan in place since 2010. The plan is updated every five years. The Campus Master Plan sets the parameters, policies and directions for the physical development of the campus – its buildings, landscapes, movement systems and general infrastructure. It deals with the location and size of buildings without determining the uses except in a general sense, since these will vary over time.

This is an exciting time for Carleton University to explore what our campus will look like in the future. The last Campus Master Plan was completed in June 2016 and many developments have taken place since then including a new Strategic Integrated Plan. The 2016 Master Plan was completed by consultant Brook McIlroy (BMI) and, in August 2021, Carleton University once again retained Brook McIlroy (www.brookmcilroy.com).

The process to update the Campus Master Plan began in April 2022, with an announcement to the Carleton community. Over the last six months, the focus has been on conducting wide-ranging consultations with the campus community, as well as with key stakeholder groups including, but not limited to the university senior leadership group (Strategic Integrated Planning Committee), the Deans and the University Librarian, as well as accessibility and sustainability leaders. Additional consultations are planned for fall 2022 specifically for students and for faculty and staff. As well, there is a consultation planned for the Board of Governors retreat in October.

To support the engagement of the campus community, a dedicated website has been developed and includes the project timeline, as well as an email should anyone wish to provide ideas and/or feedback directly to BMI. The website is: https://carleton.ca/fmp/campus-master-plan/. BMI has used, and will continue to use, the web-based interactive platform Bang the Table, as a method to receive feedback. This tool will be reactivated in the fall as part of the Phase 2 engagement and consultation. A further update will be provided to this committee at its November 17 meeting.
4.0 INPUT FROM OTHER SOURCES
The Campus Master Plan process incorporates opportunities for Carleton faculty, staff and students to provide feedback, as well as consultation with external stakeholders and institutional partners. The consultation process began in April 2022 and will continue into the fall, with additional consultations planned for students, as well as faculty and staff. A special consultation is also planned for the Board of Governors’ retreat on Oct. 4.

5.0 ANALYSIS AND STRATEGIC ALIGNMENT
The Campus Master Plan provides a long-term vision for our physical campus that will align with and support the values and aspirations of the Strategic Integrated Plan of the university, and guide future campus development accordingly. The plan will have dual horizons that will outline the planning implications for both the next 5- to 10-year period, and for a longer, visionary 25- to 30-year scenario.

The Carleton Master Plan document will serve as a guide to the university as it develops its future built environment. The consultant (BMI) is very familiar with other key strategic documents that will inform their work in developing the updated Campus Master Plan, ensuring it is a holistic document that aligns with our key University planning documents, including:

- Strategic Integrated Plan (SIP)
- Campus Outdoor Master Space Plan
- Transportation Strategy
- Coordinated Accessibility Strategy
- Kinamagawin (Learning Together) Indigenous Strategy
- Equity, Diversity and Inclusion Action Plan
- Sustainability Plan 2020-2025
- Energy Master Plan 2021-2026

6.0 FINANCIAL IMPLICATIONS
The total project costs to update the Campus Master Plan are approximately $300,000. They are funded through a 2021-2022 one-time funding allocation of $200,000 from the operating budget plus contributions from the Capital Renewal and Deferred Maintenance fund.

7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT
The Campus Master Plan update meets the university’s requirement to update the Carleton University Campus Plan every five years. Risks are minimal during the planning phase. Failure to update the plan may result in the development of the campus not reflecting the university’s strategic goals. The update mitigates this risk.

8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY
The consultation process is a key component of the Campus Master Plan update. Consultations are supported by an extensive communications plan. The open and forward-looking nature of the Campus Master Plan update should contribute positively to Carleton’s reputation for being a progressive university.
### 9.0 OVERALL RISK MANAGEMENT ANALYSIS

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Campus Master Plan Renewal Process Update

Building Program Committee
Sept. 14, 2022
Master Plan Renewal - Purpose

Carleton’s Campus Master Plan sets the:
• Parameters
• Policies and
• Directions
for the physical development of the campus including buildings, landscapes, transportation plans, and infrastructure.
Consultants: BrookMcIlroy (BMI)

- BrookMcIlroy is a Toronto-based firm of architects, landscape architects, planners, and urban designers with extensive experience in the post-secondary sector.

- They worked with Carleton on the 2016 Campus Master Plan update and the development of the university’s first Outdoor Space Master Plan.

- They have a strong understanding of the campus and our needs as articulated in the Strategic Integrated Plan (SIP) and other plans.
Project Schedule

PHASE 1: BACKGROUND STUDY AND VISIONING
January - May 2022
- Campus Community Visioning Session

PHASE 2: DESIGN AND DEVELOPMENT ALTERNATIVES
June - September 2022
- Campus Community Design and Development Alternatives Review

PHASE 3: CAMPUS MASTER PLAN DEVELOPMENT
October - December 2022
- Present Campus Master Plan to Project Committee
- Campus Community Open House
Consultations – Completed

Completed (March – June)

• President’s Advisory Group (PAG)
• Campus Community (through online tool Bang the Table)
• Building Program Committee
• Sustainability Stakeholders
• Accessibility Stakeholders
• Council of the Deans and University Librarian (CODUL)
• Campus Master Plan Steering Committee
• Strategic Integrated Planning Committee (SIPC)
• Athletics
• Dining Services
• Housing
• Print Shop
• Facilities Management and Planning
• Campus Safety Services
• Carleton Dominion-Chalmers Centre
Consultations – Planned

Planned

September:
• Re-open Bang the Table for community
• Open Faculty and Staff Consultation

October:
• Board of Governors
• Student Consultation

Early 2023
• A draft of the Campus Master Plan will be posted for final comment from the Carleton community
Key Outcomes

The main outcome is a conceptual layout to guide future growth and development for the campus.

The key goals are:

• Alignment between space planning and academic plans
• Integration with Open Space Master Plan and Transportation Plan
• Improved connections between social spaces, development projects, and the surrounding environment
Next Steps

• Fall Consultations

• Drafting of Campus Master Plan – **November/December**

• Review and Input on draft CMP by Carleton Community including Building Program Committee: **January & February**

• Final Approval by Board of Governors: **March or April**
Major Capital Projects Overview
September 2022
Major Capital Projects – Recently Completed

ARISE
Completed in 2019, this building added 34,500 sq/ft to the former Life Sciences Research Building.
Total Cost: $38M

HEALTH SCIENCES
Completed in 2020, this 120,000 sq/ft building features 7 floors of lecture theatres, labs and workspace.
Total Cost: $61M

NICOL
Completed in summer 2021. This new 100,000 sq/ft facility brings all business students together under one roof.
Total Cost: $65M

2018-2021 ($164M)
Major Capital Projects – Nearing Completion

ENGINEERING DESIGN CENTRE (EDC)

Sq. Ft: 26,100
No. of Stories: 3
Purpose: A maker space, design studios, workshop bays, central atrium, meeting and lounge spaces.

*Estimated* Cost: $18M
Occupancy Received – project nearing completion
NEW RESIDENCE

Sq. Ft: 188,000
No. of Stories: 9
Purpose: First-year student residence with 450 beds, living and social spaces.

Approved Project Budget: $90M
Estimated completion date: 2024 or 2025
LOEB BUILDING RENOVATION

Building constructed in 1967. General building renovations to exterior cladding and various interior repairs and improvements to building conditions.

Estimated Cost: $40M
Schedule: 2022 - 2027
Major Capital Projects - Planned

PATERSON HALL RENOVATION
Building Constructed in 1962.
General building renovations to improve building conditions, teaching and research spaces.

Estimated Cost: $40M
Schedule: 2022 - 2027
Major Capital Projects - Planned

WELLNESS HUB
Sq. Ft: 230,000
No. of Stories: 4/5
Purpose: Expansion of fitness, wellness and aquatics that will shift the student experience, culture and pursuit of well-being on campus.

Estimated Project Cost: $175M (Aquatic Centre and Academic, not phased)
Estimated Completion date: TBD
SUSTAINABILITY RESEARCH CENTRE (SRC)
Sq. Ft: 200,000 sq/ft + 15,000 sq/ft infill
No. of Stories: 6
Purpose: New building for Faculty of Engineering and Design.

Estimated Project Cost: $225M
Estimated completion date: TBD
1.0 PURPOSE
☐ For Approval  ☒ For Information  ☐ For Discussion

2.0 MOTION
This report is for information only.

3.0 EXECUTIVE SUMMARY
In 2019-2020, a consultant hosted a number of design consultations with students, faculty and staff, as well as Residence Life staff, to identify housing needs. The new student residence project was originally slated for construction in 2020 but was paused due to challenges presented by the pandemic. The project was restarted, with Board approval, in September 2021 with a budget of $90 million. Facilities Management and Planning brought the project team back together and has held multiple stakeholder meetings since to reconfirm requirements.

The project is being delivered via a construction management. Significant price increases in material have resulted in some tender prices exceeding the anticipated budget. This is common on many construction projects at present – particularly multi-year projects – as contractors navigate the impact of the pandemic and current supply chain challenges on the industry. While some projects are seeing budget increases as high as 50 per cent, the market average is closer to 20%.

To date, 16 of our trade tender packages have closed and we have been successful in keeping cost increases modest. With rising inflation, however, there will be increased pressure on the remaining 10 tender packages – some of which represent large investments. We are reviewing requirements and engaging in value engineering where possible to limit cost increases. We anticipate returning to the committee with a revised final budget in November.

The recent trade strikes have also impacted the construction timeline. The trade strike has since been resolved, and civil work resumed July 25, 2022, but this has resulted in a two-month schedule delay. We are looking at ways to make up the lost time.

4.0 INPUT FROM OTHER SOURCES
As noted above, consultations regarding needs and progress continue with key stakeholders. The new student residence report was prepared by Facilities Management and Planning with information provided by the respective Planning, Design, and Construction (PDC) senior project manager, and project manager.
5.0 ANALYSIS AND STRATEGIC ALIGNMENT
The 456-bed new student residence building supports the housing demands incurred by the Housing and Residence Life Services department. Building a new student residence that reflects the needs of students aligns with the goals of the university to provide students an excellent experience that includes an environment that supports personal growth, as well as academic development, while promoting a safe and inclusive living space. Students living in residence in their first year have demonstrated higher retention rates than those living in off-campus housing. The building is designed to promote and enhance a student-focused residential community experience and incorporates Passive House Design principals to achieve a high level of sustainability, which aligns with Carleton’s Sustainability and Energy Master Plan.

6.0 FINANCIAL IMPLICATIONS
There are no immediate financial implications, however we expect the trade tender packages in aggregate to come in over budget. The senior project manager and project team are working with the design team, a risk management consultant and construction manager to minimize cost overruns, and manage the contingency that is required for a project of this size and complexity. Currently, it appears that the $90-million budget may not be able to carry the project to the end. FMP is working on risk mitigation strategies, such as delaying specific tender packages in an attempt to get competitive bids, specifically on cladding and glazing. Re-design of the cladding and glazing systems is also under consideration. Once all tenders are awarded, a more accurate project cost can be confirmed and a formal budget increase request will be put forward for approval.

7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT
The current risks identified for this project are associated with market volatility, supply chain issues and resource availability. These risks may contribute to construction delay and increased budget.

8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY
The project management team will continue to update project sponsors and stakeholders regularly, and make them aware of any financial, schedule, and operational risks that the project may face. Regular meetings are in place to allow for open communication and transparency in regards to the project implementation and execution.

9.0 OVERALL RISK MANAGEMENT ANALYSIS

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New Student Residence Update
Building Program Committee
September 2022
Project Description: Modern accommodation for 450+ new first-year students, as well as various amenity spaces for all students on campus.
Project Progress Update

Budget: $90 million

Current Activities: Excavation and services in progress

Completion: 2024-2025

Tender Packages Status:
Total: 26
Closed: 16
In Progress: 10
Budget Pressures

• Upward pressure on construction costs due to the pandemic, supply chain challenges and inflation
• Some projects seeing budget increases as high as 50%; market average 20%
• Have limited cost increases on tenders thus far but anticipate significant cost pressures on remaining tender packages – some of which represent large investments
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<td>• Increased material and labor costs</td>
<td>• Review requirements</td>
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<td>• Unknown site conditions</td>
<td>• Value engineering</td>
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<td>• Increase budget</td>
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<td>• Identifying redundancies, oversight to allow for overlapping activities to reduce any downtime and streamline the work</td>
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<td>• Request recovery schedule</td>
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To: Board of Governors

From: Chair, Building Program Committee

Subject: Ongoing Capital and Deferred Maintenance Projects Status Report

Date of Report: 8 August 2022

Date of Meeting: 4 October 2022

Responsible Portfolio: 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
Projects totaling $207,183,795 are currently underway. Value of work completed to July 2022 totals $73,686,735 with forecast expenditures of $133,497,060.

In addition to the updates to the projects listed below (identified with *), the following are of note since the last meeting of the Building Program Committee:

- The Engineering Design Centre (EDC) obtained occupancy in August 2022, and staff move-in is complete.
- Construction of the New Student Residence has begun, and 16 trade packages have closed.
- Facilities Management and Planning has been requested to obtain high level costing for the inclusion of diving towers for the Regional Aquatics Centre.
- The Sustainability Research Centre (SRC) project has been put on Hold.

This report also provides a budget update on the overall spent on Capital Renewal (Deferred Maintenance), Facility Renewal Program (FRP), and Transportation Fund Budgets.

4.0 INPUT FROM OTHER SOURCES
The major capital, capital renewal/deferred maintenance report is prepared by Facilities Management and Planning (FMP) and is developed from information provided by the respective project managers within FMP.

5.0 ANALYSIS AND STRATEGIC ALIGNMENT
The following provides an update of the major projects and programs currently at various phases of development:

Major Capital Projects (chronologically)

- Co-generation Facility
  Start Date: October 2017  Completion: December 2021
  Update: The Co-gen facility supports the overarching sustainability goals as outlined in the Energy Master Plan (2021-2026) and will reduce our utility costs. The testing for the facility is complete and the project reached substantial completion in mid-February. The project close-out report for the Co-generation Facility is a separate agenda item for this Building Program Committee meeting. There will be no further reporting on this project.

- Engineering Design Centre (Mackenzie Building Addition)
  Start Date: September 2020  Completion: Fall 2022
*Update: Site constraints and conditions, as well as COVID-related delays in personnel and material delivery, have resulted in project delays. Occupancy permit was received at the end of July 2022. Substantial completion is targeted for September 2022. With receipt of the building occupancy, the construction manager, EllisDon, remains onsite as part of deficiency resolution and close out activities. Client groups under the Faculty of Engineering and Design have moved in.

- **New Student Residence**
  **Start Date:** February 2022  **Completion:** 2024-2025
  *Update: The new student residence project was originally scheduled for construction in 2020 but was paused due to challenges presented by the pandemic. The project was re-started, and is being delivered via construction management delivery strategy. Sixteen trade tender packages have closed to date. The project continues to face budget and schedule challenges as detailed in the project status report. Significant material price increases have resulted in tender prices exceeding the anticipated budget. FMP continues to work with the team to finalize the remaining tenders. The recent trade strikes caused a three-week delay to the civil work. Work resumed on July 25 when the strike was settled.

- **Regional Aquatics Centre and Wellness Hub**
  **Design Start:** September 2019  **Schematic Design Completed:** December 2021
  On hold pending the outcome of the City of Ottawa RFI process  **Completion:** Not yet known
  *Update: The Wellness Hub is a 230,000 gross square feet, four-storey, above grade building which includes a new aquatics centre, wellness research and academic space for Carleton faculty and students, student services and community gathering spaces. Carleton has taken receipt of the final schematic design document from the consultant. In February 2022, Carleton was invited to a commercially confidential meeting with the City of Ottawa in response to the City of Ottawa’s Request for Expression of Interest (RFEOI) for an Ottawa Aquatics Complex Space Management and Campus Planning is currently reviewing the existing Athletics Building, and exploring functional programming options on what could be done with the space if the pool is decommissioned, and how the space could be used.

- **Loeb Building Upgrades**
  **Start Date:** January 2022  **Completion:** TBD
  *Update: A Building Condition Assessment has been completed and submitted to FMP. FMP has been in communication with the key stakeholders and is in the early planning stages of developing an action plan to best address the issues as identified in the Building Condition Assessment. Phase 1 includes the immediate repairs to the interior stairs and exterior guardrails and has been awarded to a general contractor. Phase 2 is for the concept design for the building envelope remediation is to start in fall 2022.

- **Paterson Hall Building Upgrades**
  **Start Date:** January 2022  **Completion:** TBD
  *Update: A Building Condition Assessment has been completed and submitted to FMP. FMP has been in communication with the key stakeholders and is in the early planning stages of developing an action plan to best address the issues as identified in the Building Condition Assessment. FMP is obtaining further clarification regarding the City of Ottawa’s heritage registry recommendation announced in 2017 to determine the impacts this may have on the future planning for Paterson Hall. The Heritage Committee has yet to follow up with Carleton. Phase 1 of the project addressing immediate repairs to the podium and the quiet room are underway, with completion expected in January 2023. The RFP for the consultants to plan the remaining renewal work will be issued in September 2022.

- **Sustainability Research Centre**
  **Design Award:** November 2020  **Schematic Design Completion:** February 2022
  *Update: The Sustainability Research Centre is a 215,000sq. ft., six-storey building. Five signature showcase spaces on the main level will highlight program activity. The schematic design report has been received, and the project is currently on hold pending funding.

*Capital Renewal/Deferred Maintenance Projects (alphabetical order)*
2022/2023 Projects

- Bronson Substation Replacement Feasibility and Design
  **Design Start:** TBD
  Design and Engineering services for a feasibility study and design services to replace Bronson Substation #1. The Bronson substation #1 switchgear has passed the end of its expected service life and various components are reaching obsolescence, with replacement parts difficult to procure. The feasibility and design services will review different options, and provide high level pricing so that FMP can provide recommendation to the university on the way forward.

- Campus Perimeter Security Upgrades
  **Design Start:** March 2022  **Completion:** TBD
  Split funded by Campus Safety Services, and CRDM, this project will improve perimeter security on campus, and involves upgrades or replacement of doors, installation of card access and cameras. The first building to be issued for tender will be Herzberg Building.

- MacOdrum Library Cooling Tower Replacement
  **Start Date:** August 2022  **Completion:** Spring 2023
  Replacement of the roof mounted cooling tower that services the Library is required. Included as part of the project scope is improved access platforms for maintenance servicing.

- Roof Replacement Program 22-23
  **Start Date:** April 2022  **Completion:** Fall 2022
  Construction is underway for the 2022-2023 roof replacement program, which includes the following: Architecture Skylight, Dunton Tower, Minto Centre For Advanced Studies in Engineering Building (C.A.S.E.), and repairs to HCI/VSIM. Redundant cell tower removals are being coordinated with Rogers and TELUS for Dunton Tower and Minto C.A.S.E.

- Paterson Hall Quad Area Infrastructure Improvements
  **Start Date:** August 2022  **Completion:** Winter 2022
  Demolition of stair structure, retaining walls, seating, and walkways as required to remove and relocate infrastructure. Excavation and removals for Tunnel Repairs and waterproofing. Remove and relocate storm, sewer, water mains, water lines, catch basins and sewer access points.

- Richcraft Hall Theatre Seating Replacement
  **Start Date:** August 2022  **Completion:** Winter 2023
  Replacement of the theatre seating in Richcraft Hall room 2200. The supplier has been engaged, and through a competitive RFP process, and site verification and measurements occurred in July. FMP is working with scheduling to coordinate the installation.

Status Updates of Ongoing Projects from prior years (in alphabetical order)

- Andrew Fleck Childcare Centre Base Building Upgrades and Addition
  **Start Date:** May 2021  **Occupancy:** June 2022
  *Update:* Substantial completion was achieved in June 2022 Multiple delays were experienced with doors, hardware and glazing and currently with the building inspector’s availability. The project faced multiple challenges with sub-contractors. The addition part of the project is now complete. The client has asked for a revision to the outdoor playground area that has been added to the scope and this is currently in design development.

- Architecture Building Ventilation Upgrades
  **Start Date:** February 2022  **Completion:** August 2022
Update: Project was awarded in February to a mechanical contractor for the addition of a suspended air handling unit to lab 214, and insulation of exterior ducts and dust collector.

- **Athletics Chiller Replacement**  
  **Start Date:** September 2021  
  **Completion:** Fall 2022  
  *Update:* This project has been awarded to a mechanical contractor. Supply chain delays pushed the installation to fall 2022.

- **Building Energy Audits and Retro-Commissioning Program Report**  
  **Start Date:** December 2021  
  **Completion:** Ongoing  
  *Update:* A consultant has completed the Azrieli Pavilion energy report, and the report been accepted by Carleton University. The final report outlines a series of capital investments and operational recommendations to improve the energy performance of the building. This activity supports the goals as stated in the Energy Master Plan. FMP is using the information to be included in future energy improvement projects. The mechanical retro-commissioning program has commenced for Richcraft Hall and Tory Building to ensure that the building systems are operating efficiently. This program is focusing on "low-cost/no-cost" operational improvements with existing usage to obtain the proper comfort levels, generate energy savings, and improve the building’s operations and maintenance procedures to enhance building performance.

- **Campus Sanitary Sewer/Storm Sewer/ Water Main Infrastructure**  
  **Start Date:** To be determined based on final consultant’s report  
  **Completion:** TBD  
  *Update:* The final report has been submitted, and FMP is currently reviewing the plan to co-ordinate these major infrastructure improvements with other campus initiatives such as transportation projects, high voltage work, new construction, and other planned projects. The water main capacity analysis report was received by FMP, and is being reviewed. The Paterson Hall Quad infrastructure improvements project will address some of the critical items mentioned in the report.

- **Central Heating Plant Generator Replacement**  
  **Start Date:** October 2021  
  **Completion:** February 2023  
  *Update:* The current generator that services the Central Heating Plant on campus, is nearing its end of life and must be replaced. The project has been awarded to a General Contractor, however the completion date has been delayed due to site conditions and cable delivery lead time.

- **Dunton Tower Supply Fan Replacement**  
  **Start Date:** (AHU#2) November 2021  
  **Completion:** (AHU#2 – November 2021)  
  **Start Date:** (AHU#1) February 2022  
  **Completion:** (AHU#1): December 2022  
  *Update:* Handling Unit (AHU) #2 fan supply and installation is complete and operational. AHU#1 work has been awarded. Supply chain issues with the fan have pushed the completion date to December 2022. This work was required after the building’s main air supply fan failed in September 2021.

- **Dunton Tower 3rd Floor Heating Improvements and Renovations**  
  **Start Date:** March 2022  
  **Completion:** Fall 2022  
  *Update:* This project will resolve the historic heating issues experienced on the 3rd floor. All work will be co-ordinated with the interior renovations planned on the 3rd, 7th, 8th, 9th, 10th, and 17th floors recently vacated by Sprott. The phasing of the project addresses the heating improvements, 3rd and 17th floor renovations first, and the swing space floors (7, 8, 9, 10) second. Construction has started, and all demolition is complete. Supply chain issues with doors and frames have delayed the project, and pushed the completion date to fall 2022.

- **Dunton Tower Fire Alarm and Smoke Control Modifications**  
  **Start Date:** July 2022  
  **Completion:** March 2023  
  *Update:* The purpose of this work is to enhance the fire alarm and ventilation systems to improve smoke management in the stairwells. An electrical contractor has been awarded the contract, and the kick off meeting was held in July. This project involves long lead times for equipment.
Herzberg Building Renewal upgrades in Block B on Levels 1, 2 and 4
Start Date: TBD
Update: The consultant team has delivered 90 per cent drawings. Due to the negative impact the pandemic has had on delivery time for the equipment, in particular the air handling units, and risks this poses to meeting the schedule, the project is currently on hold as the implementation schedule and strategy is reviewed with the project team. FMP has received the updated building audit completed by FCAPX (a third-party condition assessment firm) and are comparing the proposed plan with the audit report.

High-Voltage Condition Assessment and Five-Year Renewal Plan
Start Date: February 2022 Completion: TBD - On Hold
*Status: A consulting team has been engaged to complete a condition assessment of the current infrastructure and complete a five-year renewal plan to address any concerns. A campus-wide test of electrical systems in each building on campus started in February 2022 and is expected to be completed by August 2022. The testing and maintenance contract was competitively awarded to an electrical contractor to carry out the review. The FMP team hosted briefing sessions with key stakeholders and the building authorities to consult on the schedule and the impacts to the building occupants. The project phasing is currently being re-visited, and the project has been put on hold.

MacOdrum Library Lighting Replacement
Start Date: July 2022 Completion: September 2022
*Update: The existing lighting in MacOdrum Library will be replaced with LED lamps. The project will result in a payback of three years on energy savings, and will achieve approximately 25 tons of carbon reduction, supporting Carleton’s goals as outlined in its Energy Master Plan and Sustainability Plan. The project has been awarded to a lighting supplier, and the work is nearing completion. This project is expected to receive a $40,000 Save On Energy Rebate reimbursement, which will be used to fund future lighting replacement work.

Premise Isolation on Incoming Water
Start Date: February 2021 Completion: Spring 2023
*Update: The Premise Isolation on Incoming Water Project entails upgrading and modifying the water main entry connection (domestic and sprinkler system) with specific types of Backflow Preventers (BFP) for the older buildings across campus to conform to the City of Ottawa’s Water By-law to protect drinking water quality. The majority of the 41 buildings requiring a backflow prevention device have been completed. The delays to this project are driven by aging water service infrastructure. FMP’s Maintenance Services team will then take over the required annual inspection services required by the City of Ottawa. Site Conditions and supply chain issues with fire pumps has impacted the schedule, and moved the completion date to spring 2023.

Southam Hall Building Envelope Upgrades
Start Date: April 2021 Completion: April 2022
*Update: Weather delays pushed substantial completion into March 2022. New window coverings have been installed. The bird-friendly glazing has been applied. The project is substantially complete.

St. Patrick’s Building Art Gallery - Building Envelope/HVAC Upgrades
Start Date: May 2022 Completion: Phase I September 2022 Phase II September 2023
*Update: A feasibility study has been completed, and the decision has been taken to replace all interior drywall on the perimeter walls and selected interior walls. Included in the scope is lighting, ceilings, sound system and HVAC. General contractor has mobilized on site, construction has begun, and the work is on schedule to be completed in September 2022. Phase 2 of the project involves upgrades to the mechanical systems and is scheduled for completion in September 2023. The delay attributed to lead times for mechanical equipment.

Tunnel and Campus Ventilation Upgrades
Start Date: January 2022 Completion: June 2022
*Update: The mechanical contractor mobilized, and work commenced the first week of January 2022. Supply chain issues related to mechanical equipment delayed the original schedule, pushing substantial completion to
spring 2022. The tunnel project is complete, and the tunnels have reopened to all members of our community with new exhaust fans and air handling units installed throughout the entire tunnel system. The Mackenzie, Loeb, CTTC, and Andrew Fleck Childcare ventilation upgrades are underway.

- **University Centre Cooling Tower Replacement**
  **Start Date:** December 2021  **Completion:** June 2022

  *Update:* A General Contractor has been awarded the contract for the University Centre Roof-Top Cooling Tower Replacement project. This cooling tower services the following buildings: University Centre, Architecture Building, Tory Building, Azrieli Theatre and Azrieli Pavilion. The new cooling tower is in place.

**Campus Transportation Projects**

- **University Drive/Bronson Intersection Modifications**
  **Start Date:** 2019  **Completion:** Summer 2022

  *Update:* The modifications to the Bronson Ave/University Drive intersection are highlighted as part of Carleton’s 2019 Transportation Plan which recommends measures to improve traffic flow on campus. This project includes the addition of a second left-turning lane heading north on Bronson Avenue, an enhanced cycle path, pedestrian sidewalk improvements, and a new roundabout complete with a centre island with stonework and landscaping. The pedestrian safety railing for the O-Train overpass bridge was installed in February 2022, and the landscaping is now complete.

6.0 **FINANCIAL IMPLICATIONS**

The pandemic’s impact on pricing, supply chain and resource issues continue to affect project budgets and schedule. Contractors are including greater contingencies in their pricing to deal with the volatile market, which has resulted in increasing project costs. As a result, Carleton must allow for greater project contingencies and continue to collaborate with our partners to strategize and prepare for the potential challenges and utilize the most effective project delivery methods. Price escalation allowances are being included in cost estimates for projects that will not be tendered immediately, to account for cost increases over time.

7.0 **RISK, LEGAL AND COMPLIANCE ASSESSMENT**

Risks that our construction projects are facing involve construction cost increases, supply chain issues, resource, and trade availability. These cost increases and supply chain risks are being managed by planning projects well in advance in collaboration with the end-users, actively working with consultants and contractors to manage costs, specifying the preference for Canadian-supplied products as much as possible, and completing cost benefit analysis on pre-purchasing items with long lead times to weigh the options. The construction industry is seeing almost double the delivery lead time on mechanical equipment because of the high demand, as COVID 19 has moved many ventilation projects to high priority. Construction staff being sick with COVID and various, trade union strikes add stress to the already busy Ottawa construction market (light rail, new hospital, Parliamentary precinct construction), present risks on schedules and impact costs of the project. Early funding approvals, tendering projects early in the year, prior to the busy summer construction period, helped mitigate these risks, as well as ensuring Carleton’s contract documents clearly state the university’s vaccination requirement, and COVID protocols.
8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY
The new capital projects and capital renewal initiatives will help make the campus more visible, and play a role in attracting students, faculty, employees, and the community to the university, and thus contributes to enhancing Carleton's reputation. Delays in completing capital projects could have a negative reputational impact with internal clients and potentially future students, as well as having a financial impact on the university. Disruptions as a result of construction work in occupied buildings and site infrastructure may have a negative impact on the campus community and student experience. To mitigate these risks, every effort is being made to plan and schedule the work as efficiently as possible. Ongoing communications with the campus community and key stakeholders is part of project management oversight, and FMP continues to have the support of Carleton's communications professional staff.

9.0 OVERALL RISK MANAGEMENT ANALYSIS

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## Carleton University

### Reporting at July 22

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**TOTAL**                                  | 207,183,795 | 73,686,735               | 133,497,060                     | 0                   |
To: Board of Governors
Date of Report: 18 August 2022

From: Chair, Building Program Committee
Date of Meeting: 4 October 2022

Subject: Transportation Plan & Parking Strategy Update

Responsible Portfolio: 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
The Transportation Plan was completed by the external consultant PARSONS in 2019 to prepare for future changes on the Carleton campus. The PARSONS report focused on five themes: Active Travel, Accessibility, Parking, Road Network and Transit. The PARSONS report provided over 26 recommendations to the university to improve transportation on campus.

Implemented recommendations include:
- Stadium Way exit from Parking Lot 5 (P5) onto Bronson (Completed 2019)
- Raven Road Extension (Completed 2020)
- Open Space Master Plan (2020 and launched in 2021)
- Road and sidewalk rehabilitation on Library Road (Completed 2021)
- New Bike storage facility between Dunton Tower and Azrieli Pavilion (Installed 2021)
- Parking Lot 7 expansion – Phase 1 (2021)
- O-Train Bridge Renewal/Repair with Pedestrian Safety Fence/Lighting (Completed 2022)
- University Drive-Bronson Ave. Intersection Modifications (Completed 2022)
- Roundabout construction on University Drive at Parking Lot 7 (Completed 2022)

Projects in progress include:
- Phase 2 Light Rail Transit Construction (Late 2023 – managed by City of Ottawa)
- Tunnel connection from LRT to Minto Case (Part of LRT project, opening only)
- Develop connections to the pedestrian bridge over Rideau River (Bridge Installed July 2022 – use is pending completion of LRT)
- Potential Parking Lot 7 (P7) Expansion Phase 2 (2023)

Remaining recommendations include:
- Colonel By North Entrance (discussions/negotiations with NCC have begun)
- Additional dedicated cycling storage facilities
- Undertake preliminary design for Campus Ave. one-way conversion and bus platform extensions
- Multi-modal pathways on Campus Ave. and University Drive
- Widening of sidewalks
- Improved lighting
- Improved tunnel connections (from LRT and P18)
- Accessibility improvements
- Long-term plan for parking
• A shuttle plan

4.0 INPUT FROM OTHER SOURCES
The Transportation Plan incorporates feedback from key stakeholders from the City of Ottawa, the National Capital Commission (NCC), community representatives and Carleton students, faculty, and staff.

5.0 ANALYSIS AND STRATEGIC ALIGNMENT
The Transportation Plan addresses some of the transportation challenges and opportunities expected to impact the university environment from 2019-2023. The Transportation Plan aligns and reflects key priorities identified in various initiatives and plans including but not limited to:

• Strategic Integrated Plan
• Campus Outdoor Master Space Plan
• Coordinated Accessibility Strategy
• Sustainability Plan 2020-2025
• Capital and deferred maintenance program

In order to minimize campus disruption, and maximize cost saving opportunities, other infrastructure work (tunnel, sanitary/storm sewer/water main/high voltage) should be looked at holistically with the transportation projects, if the budget can accommodate it.

6.0 FINANCIAL IMPLICATIONS
As a result of the 2019 Transportation Plan, Carleton transferred $10 million to its Transportation Fund. To date, $7.5M has been committed from the transportation fund account, with $5.3M in actual expenditures up to June 30, 2022. Some of the projects were funded outside of the transportation fund (e.g. Parking Services).

7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT
Risks involved include traffic disruptions on campus, conflicts with other major capital projects, schedule delays due to inclement weather and COVID 19, supply chain issues, cost increases, and skilled trades availability. Continued review and risk mitigation strategies will be implemented to ensure that Carleton delivers these projects successfully.

8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY
Many of the transportation projects have high visibility and can have a positive or negative impact on how Carleton is seen internally and externally, thus having an impact on the university’s reputation. The planning process, and stakeholder management has been used to keep the campus informed, and to manage expectations.

Road and infrastructure work can result in many disruptions to the Carleton campus, and external community. Communications has been key to the planning for all projects and will continue to be central to how the campus community and key stakeholders are kept informed. Communications will continue to be a priority in our planning for ongoing and future projects. FMP will continue to work with communications staff to ensure this is achieved.
9.0 OVERALL RISK MANAGEMENT ANALYSIS

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Transportation Plan & Parking Strategy Update

Building Program Committee

September 2022
Transportation Plan – Background

The plan was completed in 2019 and focuses on:

- **Active Travel**
  - Existing Conditions
  - Short & Long-term Recommendations

- **Accessibility**
  - Exterior Paths
  - Ramps
  - Stairs
  - Tunnel connections to buildings and LRT
  - Tactile Walking Surface Indicators
  - Parking
  - Transit Stops
  - Bus Shelters

- **Parking**
  - Assessment of Parking Supply
  - Short & Long-term Recommendations

- **Road Network**
  - Existing Conditions
  - Areas of Concern
  - Intersection Capacity Analysis
  - Potential Mitigation Measures
  - Short & Long-term Recommendations

- **Transit**
  - Existing Conditions
  - Future Conditions
  - Areas of Concern
  - Potential Mitigation Measures
  - Short & Long-term Recommendations
## Completed Projects

<table>
<thead>
<tr>
<th>Project</th>
<th>Completion Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stadium Way exit from Parking Lot 5 (P5) onto Bronson</td>
<td>2019</td>
</tr>
<tr>
<td>Raven Road Extension</td>
<td>2020</td>
</tr>
<tr>
<td>Road and sidewalk rehabilitation on Library Road</td>
<td>2021</td>
</tr>
<tr>
<td>New Bike storage facility between Dunton Tower and Azrieli Pavilion</td>
<td>2021</td>
</tr>
<tr>
<td>Parking Lot 7 (P7) Expansion Phase 1</td>
<td>2021</td>
</tr>
<tr>
<td>O-Train Bridge Renewal/Repair with Pedestrian Safety Fence/Lighting</td>
<td>2022</td>
</tr>
<tr>
<td>University Drive-Bronson Ave. Intersection Modifications</td>
<td>2022</td>
</tr>
<tr>
<td>Roundabout construction on University Dr. at Parking Lot 7 (P7)</td>
<td>2022</td>
</tr>
<tr>
<td>Project</td>
<td>Estimated Completion Date</td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------</td>
</tr>
<tr>
<td>Campus Master Plan</td>
<td>Early 2023</td>
</tr>
<tr>
<td>Phase 2 Light Rail Transit Construction</td>
<td>2023 (Managed by the City of Ottawa)</td>
</tr>
<tr>
<td>Develop connections to the pedestrian bridge over Rideau River to Vincent Massey Park</td>
<td>Bridge Installed July 2022 (Use is pending completion of LRT)</td>
</tr>
<tr>
<td>Improvements to tunnel connections from LRT to Minto Case, Nicol Building, and New Residence</td>
<td>2023 (Managed by the City of Ottawa)</td>
</tr>
<tr>
<td>Potential Parking Lot 7 (P7) Expansion Phase 2</td>
<td>2023</td>
</tr>
</tbody>
</table>
New bike enclosure between Dunton Tower and Azrieli Pavilion
Tunnel connectivity supports:

- Accessibility
- Student experience
- Reputation
- Transportation
- Wayfinding

(Photo Credit: Chris Strangemore, Carleton University)
O-Train Bridge
Renewal with
Pedestrian Safety Fence
New roundabout at University Dr. at Parking Lot 7
Future Work

The remaining items are multi-year implementation initiatives that require planning with other campus infrastructure projects and new capital.

<table>
<thead>
<tr>
<th>Initiatives</th>
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<tbody>
<tr>
<td>Add bike storage</td>
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<tr>
<td>Design for Campus Avenue one-way conversion and bus platform extensions</td>
</tr>
<tr>
<td>Build multi-modal pathways on Campus Avenue and University Drive</td>
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<tr>
<td>Widen sidewalks</td>
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<tr>
<td>Improve lighting and emergency stations on designated Safe Pathway System</td>
</tr>
<tr>
<td>Improve tunnel connections (from LRT and P18)</td>
</tr>
<tr>
<td>Improve Accessibility</td>
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<tr>
<td>Plan for long-term parking needs</td>
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</table>
## Current and Long-term Parking Challenges

<table>
<thead>
<tr>
<th>External and Internal Factors</th>
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<tbody>
<tr>
<td>De-commissioning of P9 Garage and loss of 651 spaces as of 2024</td>
</tr>
<tr>
<td>Revenue deficit due to Pandemic</td>
</tr>
<tr>
<td>LRT significantly behind schedule</td>
</tr>
<tr>
<td>Challenges in forecasting future demand</td>
</tr>
<tr>
<td>Visitor and accessible parking areas require re-alignment</td>
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</table>
Response

Current: Replace some permit parking with daily parking to share space amongst employees using hybrid work arrangements.

<table>
<thead>
<tr>
<th>Potential Future Strategies</th>
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<tbody>
<tr>
<td>- Expand Lot P7 to address parking supply shortage</td>
</tr>
<tr>
<td>- Increase parking rates to market rates</td>
</tr>
<tr>
<td>- Collaborate with OC Transpo to improve service to campus</td>
</tr>
<tr>
<td>- Develop a comprehensive Alternative Transportation Strategy</td>
</tr>
</tbody>
</table>
To: Board of Governors  |  Date of Report: 8 August 2022
From: Chair, Building Program Committee  |  Date of Meeting: 4 October 2022
Subject: Project Closure Report – Co-generation Facility

Responsible Portfolio: 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
In 2016 Carleton University oversaw an addition to the Central Heating Plant of the Maintenance Building to install a 4.6 MW combined heat and power gas generator along with a heat recovery steam generator (boiler). The project was expected to reduce our share of electricity purchased from the grid and pay for itself with the savings over seven to eight years. The project was partially funded by an incentive from Hydro Ottawa worth $5 million.

The project started in April 2016 and was complex. It was delivered as a design build contract. In the design build process the design, scheduling and construction were interwoven, making it difficult for Carleton to have input in the decision-making process. The contractor ordered large lead equipment several times to get the correct product, which led to reductions in material quality and longer lead times as the inferior product would have to eventually be replaced. This added additional time and cost to the project and the project was not delivered until December 2021. The expenditure on the project was $21.9 million rather than the original budget of $20.7 million.

4.0 INPUT FROM OTHER SOURCES
This report was prepared by Facilities Management and Planning personnel.

5.0 ANALYSIS AND STRATEGIC ALIGNMENT
This project fulfilled the following goals:

- Save the university from rising hydro grid pricing as we were now producing a portion of our own energy
- Have resiliency in terms of power outages with the ability to supply a portion of our own power on campus
- A living lab for students of the Faculty of Engineering & Design to study the thermodynamics of an operational turbine and steam heat recovery generator

The project aligns with the Strategic Integrated Plan (SIP), by offering real life learning opportunities, to share knowledge and shape the future. It also aligns with the Energy Master Plan as the Cogeneration has a significant role as part of the plan.
6.0 FINANCIAL IMPLICATIONS
This project and cost over-run was funded from the campus renewal fund and a $5 million incentive from Hydro Ottawa.

7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT
The project close-out report identifies a number of risk and mitigation issues with the project and recommendations for future improvement. It will be important to ensure the recommendations are implemented for future projects to assist with mitigating risks.

8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY
This project helps students within the Faculty of Engineering & Design (FED) to see a working turbine on campus and analyze it in real time. When Carleton embarked on this project, Facilities Management and Planning collaborated with the FED to ensure that this experiential learning opportunity was well communicated to faculty and students so that it could be incorporated into appropriate courses. Having a working turbine on campus may attract students and faculty to the campus, and improve the student and academic experience.

9.0 OVERALL RISK MANAGEMENT ANALYSIS

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1. Purpose
The purpose of this document is to mark the completion of the Gas Turbine Co-Generation (Co-Gen) plant (Co-Gen) (PCS 79451) by assessing the project's performance, identifying lessons learned, and confirming that essential contractual and other project close-out activities have been completed.

2. Background
Start Date: April 2016 Completion Date: December 2021 (substantial completion) and July 2022 (final completion). The Co-Gen project oversaw an addition to the Central Heating Plant of the Maintenance Building to install a 4.6 MW combined heat and power gas generator along with a heat recovery steam generator (boiler). The project will reduce Carleton’s share of electricity purchased from the grid and pay for itself with the savings over 7 to 8 years. The project was partially funded by an incentive from Hydro Ottawa in the amount of $5 million.

3. Project Description
The Co-Gen plant consists of a 4.6 MW natural gas turbine and a heat recovery steam generator. The waste heat from the turbine is fed into the heat recovery steam generator where steam is generated and distributed to the campus. The original project budget was $20.7 million. It was revised twice to $21.9 million.

- **Scope Completed**
  All planned project scope has been completed with all deficiency work planned for completion in December 2022. Facilities Management and Planning (FMP) Central Heat Plant Staff have officially taken over the overall maintenance and operation of the equipment. To date everything is running satisfactorily.

- **Outstanding Issues**
  Outstanding items are the final measurement and verification performance testing and final incentive cheque from Hydro Ottawa. These items should be resolved by August 2023 as a full year of data is required for the testing requirement.

4. Project Performance

- **Project Deliverables**
  - Generate own electricity on campus to reduce grid use electricity and save on money
• Resiliency in terms of power outages with the ability for Carleton to supply its own power
• Use as a teaching living lab for students in Faculty of Engineering & Design

➢ **Project Schedule and costs**
The building’s original completion date was October 2020. The project was substantially complete in December 2021.

The total project budget was $20.7 million and the total anticipated expenditure at close out is $21.9 million.

➢ **Stakeholders**
  o FMP-Facilities and Operations (Carleton University)
  o Faculty of Engineering & Design
  o Hydro Ottawa

➢ **Scope Change**
The only scope of work change throughout the contract was eliminating the ‘black start’ option which would allow for the Co-Gen plant to power parts of the campus when the power from Hydro Ottawa is down. The reason for removing this option was inflated prices from the contractor and a fundamental disagreement on the approach to adding this option. The ‘black start’ option is being incorporated into a different project to ensure we have this functionality.

5. **Overall Assessment**
The project started in April 2016 and was complex. It was delivered as a design build contract. In the design build process the design, scheduling and construction were interwoven, making it difficult for Carleton to have input in the decision-making process. The contractor ordered large lead equipment several times to get the correct product, which led to reductions in material quality and longer lead times as the inferior product would have to eventually be replaced. This added time and cost to the project and the project was not delivered until December 2021. The expenditure on the project was $21.9 million rather than the original budget of $20.7 million.

➢ **Lessons learned**

• **Scope Management**
  For a project of this magnitude and complexity more involvement from the owner is required to ensure that Carleton is receiving everything it requires from a product point of view, and from a transparency point of view.

  *Recommendation: To ensure project requirements are well defined at the onset of the project in full collaboration with the client and end-users.*
• **Cost Management**
The project went over budget as there were several legal costs that were unexpected as well as several other costs related to Hydro Ottawa and equipment changes. As the length of the project became drawn out there were additional third-party costs such as project management, owner’s consultant, Hydro Ottawa and additional costs from the contractor.

*Recommendation:* Apply Project Management integration process to ensure both the Project Manager and all stakeholders are fully engaged and work in a collaborative environment. Ensure that a project of this size and complexity has the appropriate contingency amount allocated to the project, and that requirements are fully defined prior to construction.

• **Project Management**
The planning and initial implementation phases were initially undertaken by Carleton University until the project became too time consuming and was managed by a third-party project management firm. This model was implemented until the project was handed over to be managed by Carleton university personnel in the summer of 2020. The in-house project management delivery significantly improved communication, cost management and overall project control.

*Recommendation:* Keep project management in-house for capital projects, and ensure that Carleton has sufficient resources to allocate to the project.

• **Risk Management**
Risk Management steps were not fully utilized at the onset of the project due to the Design Build Contract which offset the risk to the contractor. It is beneficial that all projects require a clear risk management plan to identify all risks and allow for proper mitigation strategies, planning and scope definition.

*Recommendation:* Consult the Executive Director of Risk as part of the development process for larger projects and throughout projects as appropriate. If appropriate, engage the services of a third-party risk management consultant to oversee the project throughout the project life-cycle.

• **Procurement Management**
The construction delivery method chosen for this project was Design Build (Stipulated Price) Contract (CCDC14). As this was a highly technical project Carleton also engaged with a third-party engineering team to act as the owner’s advocate technical review team.

*Recommendation:* For future projects consideration should be given to engaging external Subject Matter Experts (SMEs) / Consultants for complex product specifications. Deliver projects using Construction Management.
• **Schedule Management**
  The contractor was unable to provide a construction schedule clearly outlining progress against the schedule baseline.

  *Recommendation: Hire a scheduling consultant for larger projects and ensure that an updated schedule outlining progress against the baseline be provided on a monthly basis and/or with each progress claim.*

• **Governance**
  Having a firm communication plan in place at the start of the project would have helped avoid communication issues.

  *Recommendation: Engage Strategic Communications Manager (Finance and Administration) before the outset of the project to ensure a comprehensive project communications plan is developed and in place.*
Update on 2022/23 Operating Budget (Q1)

Finance Committee
September 14, 2022
<table>
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<th>Variance to budget</th>
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<tr>
<td>Tuition</td>
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<td>Utilities</td>
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<tr>
<td>Custodial</td>
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</tr>
<tr>
<td>In-year contingency</td>
<td>$ 2.8</td>
</tr>
<tr>
<td><strong>Total variation from budget</strong></td>
<td>-</td>
</tr>
<tr>
<td>To:</td>
<td>Board of Governors</td>
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<tr>
<td>From:</td>
<td>Chair, Finance Committee</td>
</tr>
<tr>
<td>Subject:</td>
<td>Update on 2022/23 Ancillary Services Budget</td>
</tr>
<tr>
<td>Responsible Portfolio:</td>
<td>Vice-President (Students and Enrolment)</td>
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### 1.0 PURPOSE
☐ For Approval  ☒ For Information  ☐ For Discussion

### 2.0 MOTION
This report is for information only.

### 3.0 EXECUTIVE SUMMARY
Carleton University’s ancillary services support the campus community with a wide range of activities and are an essential part of the student experience. The COVID-19 pandemic placed significant financial pressure on university ancillary operations. With the return of students and staff to campus and the lifting of restrictions on facility usage and events, 2022-23 financial results are expected to approach pre-pandemic levels. An overview of consolidated ancillary services financial results for 2021-22 has been prepared along with an update of key financial drivers for 2022-23 financial results.

Ancillary units posted a consolidated operating surplus of $1.2M in 2021-22; a significant improvement over 2020-21’s deficit of $18.9M. The main contributors to this improved financial position were increased activity on campus, and the impact this has had on the university’s largest ancillary units (Housing, Dining, Athletics, and Parking). In addition, financial support received from the university’s capital reserve in 2020-21 and 2021-22 to fund deferred maintenance projects ensured that ancillary units continued to be bolstered by a consolidated accumulated surplus entering 2021-22. By the end of 2021-22, this consolidated accumulated surplus grew to $23M.

For 2022-23, given the strong demand for residence and the return of in-person classes, it is anticipated that the university’s largest ancillary units will continue their financial recovery.

### 4.0 INPUT FROM OTHER SOURCES
Ancillary services senior managers were asked in August of 2022 to review overall activity and demand for services as units prepare for fall 2022. Based on current indicators, it is assumed that no revisions to budget assumptions are required at this time and that financial performance will approach pre-pandemic levels.

### 5.0 ANALYSIS AND STRATEGIC ALIGNMENT
Historically, the university’s largest ancillary units, Housing, Dining, Athletics, and Parking, generated 78% of all ancillary services revenue. The impact of the pandemic on ancillary operations resulted in a 69% decrease in those revenues in 2020-21. Fixed costs such as facility maintenance, contractual arrangements, debt-servicing costs, full-time labour, and planned major renovations remained significant during this period. While variable costs related to usage and casual labour decreased during the same period, it was not enough to offset the decline in revenue. In 2021-22 consolidated revenues were $49M, and although significantly improved still fall short of pre-pandemic revenues of approximately $65M. As a result of the $7.7M of deferred maintenance funding received in 2021-22, ancillary units posted a $1.2M operating surplus increasing the consolidated ancillary surplus to $23M.
For 2022-23, the overall financial performance of ancillary services should meet budgeted expectations. The University is anticipating residence occupancy of between 95-98%, an improvement on 2021-22’s 84% occupancy. This occupancy level is consistent with pre-pandemic residence occupancy and will ensure Dining Services meal plan revenues remain strong. With the return of students to campus, Parking Services’ revenues are expected to meet budget expectations. This past summer, Athletics had historically high summer camp participation and demand for facility rentals continues to increase. Smaller ancillaries such as the Bookstore, Conference Services, the Print Shop, and Carleton Dominion-Chalmers Centre have benefited from the return of meetings and events to campus, particularly Convocation. Based on these increased activities and demand for services, it is anticipated that budget expectations will be met.

Spending on major capital projects was reviewed and some adjustments to budgeted amounts have been made for projects which were not completed in 2021-22, such as the completion of the Residence Commons building electrical upgrade and lock replacement project. In addition, some projects scheduled for 2022-23 have been delayed to 2023-24. Deferred maintenance continues to be a concern for ancillary units and facilities condition assessments are being performed in the university’s largest ancillary units to support the 2023-24 budgeting cycle. With the general trend of cost escalation, it is anticipated that deferred maintenance expenditures will increase in the future. The university will continue to monitor the inflationary impact on all expenditures and will incorporate any significant impact in the 2023-24 budget cycle.

Beyond deferred maintenance, ancillary units have been challenged to rebuild their teams for 2022-23. In many units this has been a challenge due to overall constraints in the labour market. This has been particularly challenging for large teams in the service and hospitality sectors which have been operating with significantly smaller teams over the last two years. Strategies are being deployed to mitigate the impact of these challenges and it is anticipated that hiring will continue through the semester until all positions are filled.

6.0 FINANCIAL IMPLICATIONS

Ancillary units are expected to generate sufficient revenue to cover the total costs of providing services, including developing reserves to cover capital renewal and deferred maintenance. Prior to the pandemic, ancillary reserves had grown to $40.8M and these funds were earmarked for reinvestment within ancillary services. In 2022-23, consolidated ancillary revenues are expected to exceed operating costs and will have a surplus due to the transfer of $3.3M for the remainder of the operating fund capital transfer. At this time, it is expected that ancillaries will retain an accumulated surplus of approximately $25.6M at the end of 2022-23. In addition, only two ancillary units, Parking Services and The Print Shop are expected to be in an accumulated deficit position. It is recommended that these ancillary units continue to be permitted to carry accumulated deficits while management develops plans to repay deficits, identify opportunities to support these units, and determines future demand for these services.

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 and accommodate the changing needs of students. The impact of the pandemic on ancillary operations strained ancillary services financial position and increased operational, financial, and reputational risks. The support received from the university’s capital reserve allowed for continued necessary investment in infrastructure ensuring students have access to modern facilities and further supported the goals of recruiting and retaining students. During 2022-23, the university’s largest ancillary units will continue to focus on deferred maintenance planning in preparation for the 2023-24 budget submission. There remains a risk that the pandemic may impact ancillary services particularly in the event of public health restrictions being reimposed as well as staffing issues due to COVID. Ancillary services will need to continue to diligently and prudently manage their operations in the event of worsening pandemic conditions.
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

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2022-23 Ancillary Services Projections
September 14, 2022
Overview of Ancillary Results & Projections

• Financial pressures of pandemic on ancillaries have eased & individual units have begun to recover
• Ancillary Services had stronger financial results in 2021-22
• It is expected that the largest ancillaries will return to normal operations in 2022-23
• Financial pressure remains on Parking Services
### Consolidated Results & Projections

<table>
<thead>
<tr>
<th></th>
<th>2021 - 22 Final ($000’s)</th>
<th>2022-23 Budget ($000’s)</th>
<th>2022-23 Projection ($000’s)</th>
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<tbody>
<tr>
<td><strong>Revenue</strong></td>
<td>49,174</td>
<td>64,252</td>
<td>64,252</td>
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<tr>
<td><strong>Expenses</strong></td>
<td>32,705</td>
<td>45,634</td>
<td>45,634</td>
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<tr>
<td><strong>Operating surplus (deficit)</strong></td>
<td>16,469</td>
<td>18,618</td>
<td>18,618</td>
</tr>
<tr>
<td><strong>Renovations &amp; capital debt</strong></td>
<td>22,970</td>
<td>21,657</td>
<td>19,390</td>
</tr>
<tr>
<td><strong>Transfer from capital reserve</strong></td>
<td>7,699</td>
<td>279</td>
<td>3,334</td>
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<tr>
<td><strong>Year-end surplus (deficit)</strong></td>
<td>1,198</td>
<td>(2,760)</td>
<td>2,562</td>
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<tr>
<td><strong>Accumulated surplus (deficit)</strong></td>
<td>23,071</td>
<td>20,311</td>
<td>25,633</td>
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- The Board of Governors approved $22.5M of funding from University Capital Reserves to fund ancillary deferred maintenance in 2020-21 & 2021-22
- $11.2M was allocated in fiscal 2020-21, $7.7M was allocated in 2021-22 with the remaining $3.5M to be allocated in 2022-23 & 2023-24
Summation & Next Steps

• Due to return of on-campus activity, expect stronger performance from ancillaries
• Continue to monitor smaller ancillaries who have less ability to repay deficits incurred
• Continue to address deferred maintenance
• Construction and planning for new facilities
• Presentation of budgets at February Finance Committee meeting
To: Board of Governors

From: Chair, Finance Committee

Subject: Update on 2022 Credit Rating

Date of Report: 23 August 2022
Date of Meeting: 4 October 2022

Responsible Portfolio: 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
As part of the inaugural debenture issuance in 2022, a credit rating was performed by the Dominion Bond Rating Service (DBRS) Morningstar. The university received a rating of AA (low) which is investment grade. To put this rating in perspective, it is one level below the University of Toronto (AA), one level above Guelph (A high) and on par with the University of Ottawa.

The credit rating must be reviewed annually while the debenture is outstanding. DBRS performed this review in July 2022 and issued the attached press release. The results, and the press release, were very positive and the AA (low) rating was retained and a stable outlook was projected.

4.0 INPUT FROM OTHER SOURCES
DBRS-Morningstar uses financial, enrolment and other data to formulate its opinion. A meeting, to discuss operational and financial plans, also forms a critical input to the process.

5.0 ANALYSIS AND STRATEGIC ALIGNMENT
The credit rating is not only used by debenture investors, but is also of interest to government, financial institutions and the public at large. A positive credit rating is a leading indicator of financial health.

6.0 FINANCIAL IMPLICATIONS
There are no immediate direct financial implications of the credit rating review, however, maintaining a high rating will lead to favourable rates on future debt issues.

7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT
The annual review is a legal requirement of a debenture issue. The main risk of the review consists of DBRS reaching an incorrect conclusion based on the data provided. This risk is mitigated by the meeting held between DBRS, selected university leadership and subject matter experts to address questions.

8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY
Achieving a favourable rating is positive for the university's reputation. Maintaining the initial rating, with a stable outlook, is of great importance to the reputation of the university as a lower credit rating and/or a non-stable outlook could have negative implications.

### 9.0 OVERALL RISK MANAGEMENT ANALYSIS

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DBRS Limited (DBRS Morningstar) confirmed the Issuer Rating and Senior Unsecured Debenture rating of Carleton University (the University or Carleton) at AA (low). Both trends are Stable. The ratings are supported by Carleton's position as a leading comprehensive university in Canada with an improving research profile, a track record of sound fiscal management, large expendable resources, and a manageable debt burden. A constrained government funding and tuition fee framework along with intense competition for domestic students are factors limiting the ratings. The Stable trends reflect DBRS Morningstar's view that the University is well positioned to be able to weather a challenging operating environment and that any softening in operating results will be temporary.

Carleton has a track record of sound fiscal management and strong operating performance. Over the past five years, consolidated surpluses have averaged 11.2% of revenues. For 2021–22, the University expects a deficit of $17.8 million compared with a surplus in prior years because of the planned use of prior year reserves for additional renovation and deferred maintenance expenses and the absence of extraordinary investment returns compared with the previous year. Although the flow-through from the softness in first-year intakes in 2020–21 did weigh on revenues, growth in summer 2021 enrolments and retention of existing students provided an offset. With return to campus and increased campus activity, the University expects to post a surplus of $1.2 million for its ancillary operations during F2022, which provides some upside to the operating outlook.

For 2022–23, a balanced budget has been presented, with revenues to be supported by an increase in international tuition fees, which is expected to offset the anticipated decline in enrolments, while fees for domestic regulated programs remain frozen. Over the medium term, declining enrolment will affect operating results as lower first-year intakes in 2021–22 work their way through the system; however, DBRS Morningstar expects the impact to be manageable and consolidated results to be at least balanced, if not show a slight surplus.

The University issued senior unsecured debentures amounting to $220 million during 2021–22, with the proceeds to be used to support the capital plan. Following the issuance and amortization of existing debt, long-term debt totalled $274.9 million at April 30, 2022, or $9,351 per full-time equivalent (FTE) student, up from a very modest $1,849 per FTE student. Despite expectations that FTE enrolment will fall over the next few years, the amortization of existing debt should result in a declining debt per FTE ratio, approaching $9,000 by 2024–25, in line with DBRS Morningstar’s prior expectations.

A negative rating action could arise from a significant and sustained deterioration in operating results, materially higher-than-planned debt, or deterioration in the provincial rating. While unlikely, a positive rating action would be dependent on broad-based improvement in critical risk assessment factors, including Carleton's academic profile, and financial-risk metrics.

ESG CONSIDERATIONS
There were no Environmental/Social/Governance factor(s) that had a significant or relevant effect on the credit analysis.
A description of how DBRS Morningstar considers ESG factors within the DBRS Morningstar analytical framework can be found in the DBRS Morningstar Criteria: Approach to Environmental, Social, and Governance Risk Factors in Credit Ratings at https://www.dbrsmorningstar.com/research/396929.

Notes:
All figures are in Canadian dollars unless otherwise noted.


The related regulatory disclosures pursuant to the National Instrument 25-101 Designated Rating Organizations are hereby incorporated by reference and can be found by clicking on the link under Related Documents or by contacting us at info@dbrsmorningstar.com.

The rated entity or its related entities did participate in the rating process for this rating action. DBRS Morningstar had access to the accounts and other relevant internal documents of the rated entity or its related entities in connection with this rating action.

Generally, the conditions that lead to the assignment of a Negative or Positive trend are resolved within a 12-month period. DBRS Morningstar’s outlooks and ratings are under regular surveillance.

DBRS Morningstar will publish a full report shortly that will provide additional analytical detail on this rating action. If you are interested in receiving this report, contact us at info@dbrsmorningstar.com.

For more information on this credit or on this industry, visit www.dbrsmorningstar.com.

DBRS Limited
DBRS Tower, 181 University Avenue, Suite 700
Toronto, ON M5H 3M7 Canada
Tel. +1 416 593-5577

Ratings

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REPORT TO ADVANCEMENT & UNIVERSITY RELATIONS COMMITTEE

September 19, 2022
Our Strategic Approach

In alignment with the vision to build **Partnerships with Purpose** in the Strategic Integrated Plan, Advancement champions a competitive, progressive “purpose-based” model for our fundraising, engagement and communications programs.

Guided by Carleton’s founding mandate, this model invites donors to give not just **to Carleton but through Carleton**—investing in higher education as a means to address societal challenges.

Advancement continues to build upon Campaign momentum, and in concert with Jim Langley is creating a timetable/milestone map for the next Campaign.
Who We Are

Jennifer Conley
Chief Advancement Officer (10 Years at CU)

Diane Chea
Director, Philanthropy (10 Years at CU)

Corrie Hobin
Director, Major Gifts (20 Years at CU)

Ryan Davies
Director, Digital Transformation (19 Years at CU)

Sarah Clarke
Director, Advancement Services (20 Years at CU)

Holly Greatrex
Director, Personal & Planned Giving (17 Years at CU)
Supporting Carleton’s Mission and SIP priorities via continued momentum building Revenue, Relationships and Resilience:

Revenue:
Maintain 3 year rolling average of $40M.
Launch Phase 4 Holistic Integrated Partnership.

Relationships:
Continue positive momentum of new industry-leading “purpose-based” community engagement model centered around Hub for Good.
Continue international relations momentum of connecting and engaging with alumni and donors.

Resilience:
Donor and talent retention via thought leadership, creation of best practices and “first and only programs” for the Sector.
Diversification and innovation to strengthen the nonprofit sector and Canadian society via philanthropy.
Advancement will develop new revenue strategies to support Carleton’s core mission:

- Elevate our focus on high-value holistic integrated partnerships.
- Elevate a new national and international front-line philanthropic fundraising approach through innovative digital tools and methods.

Goals:

- Raise $40 million in philanthropic & holistic research partnership revenue (on a three-year rolling average).
- Increase number of transformational strategic alliances by cultivating additional industry partners through holistic corporate engagement.
- Develop high-value (corporate and philanthropic) partnerships.
- Secure unique donors worldwide.
- Create digital measurement strategy to assess effectiveness of outreach and enhance philanthropic relationships.
- In concert with Jim Langley, create a timetable/milestone map for the next Campaign.
COMMUNITY: Serve Ottawa, Serve the World

Advancement will continue strategies to broker, manage and celebrate partnerships with purpose:

> Continue positive momentum of new industry-leading “purpose-based” community engagement model, centred around the Hub for Good.
> Deepen existing and establish new stakeholder relationships worldwide with more effective digital communication and stewardship.
> Continue international relations momentum of connecting and engaging with alumni and donors.

Goals:

> In partnership with the Centre for Community Engagement (CCE), launch and test new Hub for Good model for community and campus participation.
> Launch select communication programs to target stakeholder groups.
> Engage philanthropic champions, ambassadors and partners.
> Maintain donor retention rate.
> Create compelling call to action/purpose statement for next phase positioning for engagement and fundraising for the next Campaign.
RIVER: Strive for Wellness, Strive for Sustainability

Advancement will evolve new approaches to operational, strategic and systemic challenges:

- Strive to renew a culture of philanthropy on campus.
- Empower ourselves and each other to invest in and perfect passion projects and “first and only” approaches.
- Strive to lead and support Carleton leadership (academic and administrative) in establishing and advancing relationships.
- Prioritize achieving operational objectives while supporting Carleton’s desire for a flexible and hybrid workplace.

Goals:

- Lead training and development sessions for university and charitable sectors to showcase Carleton first and only thought leadership.
- Broker community engagement partnerships through the Hub for Good.
- Expand digital initiatives and lead training for self-serve and team-wide adoption.
Board and volunteer engagement is a critical and welcome component of campaign success. You are our Champions!

- Choose a cause you wish to champion
- Take a look at FutureFunder for ideas and examples
- Chat with us about avenues and opportunities
- Join the movement
Centre for Community Engagement - SP4CE Update
Board of Governors: Advancement and University Relations Committee
September 19, 2022

Co-chairs:
Prof. Chantal Trudel
Director, Centre for Community Engagement
Associate Professor, School of Industrial Design, FED

Nancy Arnold
Director, Office of Quality Initiatives

Emerita Dean Katherine Graham
Emerita Professor, School of Public Policy and Administration, FPA

Executive Sponsor:
Dr. Catherine Khordoc
Deputy Provost, Academic Operations and Planning
Professor, Department of French, FASS
Strategic direction: Serve Ottawa, Serve the world

The Community

From the eastern side of campus, Carleton opens to Bronson Avenue, a major arterial road — one that connects the city, links to its cultural and economic core and the seat of the Government of Canada, and leads ultimately to the international airport, the gateway to the world. It is a permeable edge — the main point of access between campus and the surrounding neighbourhoods. It serves as a powerful reminder of our original purpose and founding story — built by, for and with the community — and symbolizes our deep and enduring connection to Ottawa and its population, our country and the globe.

Ottawa is a nexus of change. It is a growing city, which brings with it the attendant challenges of social justice, housing, transportation, safety, culture and economic prosperity. At the same time, the city’s status as the national capital provides an important context. From here, solutions to Canada’s shared social, economic, ecological and political challenges are created—from public policy to health to technology to the changing North. From a global perspective, other nations look to Ottawa as a symbol of Canada’s evolving role on the world stage.

Local, national and international organizations are engaging institutions of higher education as partners in this transition.

IN THIS MOMENT, CARLETON CAN DRAW ON THE COMMUNITY TO INSPIRE AND GUIDE OUR COMMITMENT AND RESPONSIBILITY TO SOCIETY.

As we look to the future, we will focus on community engagement and outreach. Our vision is to extend our influence beyond campus, inspire our students to be engaged citizens and strengthen meaningful community partnerships. We will serve Ottawa and the world by remaining true to our community-empowered roots and sense of purpose.
Our working definition

At Carleton community engagement is a powerful method to develop, translate and mobilize knowledge for the greater good.

We emphasize respectful, reciprocal relations with neighbours.

We engage with communities and institutions locally, nationally and globally, from all sectors of society.
A hub and spoke approach.

Artwork by Paul Yanko - Clarity of Vision Block Hub Spoke, 2011
Terry Jarrard-Dimond Studio 24-7
Centre for Community Engagement
Initial Goals

Strategic Engagement
Governance
Partnership Development
Measurement
Communication

Strategic Results
Alignment
Impact
Recognition
Accountability
Centre for Community Engagement
Approach for SP4CE

Involved extensive consultation with internal and external community members to...

Determine where we are in community engagement.
Collectively identify what’s important, valued.
Define what we need to achieve to support our competencies and growth in community engagement.
2022-2023 SP4CE Timeline

March April
Internal Consultation Themes & Implications
What we heard
A portrait of perspectives from Carleton

May June
External Consultation Themes & Implications
Hub for Good Evaluation Planning

July August
Community Engagement Month & Review
Release of SP4CE

September October
Launch of Implementation
What we heard
A portrait of perspectives from the Community

November December
Implementation

January February
SP4CE Internal Community Focus Groups
Who participated?

~600 people across the university
Launch, On-line Feedback, 22 Tailored Sessions

Board of Governors: Advancement and University Relations
Committee for Community Engaged Pedagogy
Community Engagement Steering Committee
Department of University Advancement
Department of University Communications
Faculty of Arts and Social Sciences
Faculty of Engineering and Design (2 sessions)
Faculty of Graduate and Post-Doctoral Affairs
Faculty of Public Affairs
Faculty of Science (2 sessions)
Library
Open Consultations (3 sessions)
Office of the Vice-President (Finance and Administration)
Office of the Vice President (Research and International)
Office of the Provost and Vice-President (Academic)
Office of the Vice-President (Students and Enrollment)
Sprott School of Business
Student Consultation
SP4CE Internal Focus Groups

The questions we asked...

1. What are your broad aspirations for Community Engagement at Carleton?
2. How can we better serve our external communities?
3. What are Carleton’s strengths in community engagement?
4. How can Carleton build upon those strengths?
SP4CE External Community Focus Groups

Who participated?

41 community members
15, 1 ½ hour open sessions throughout July and August

Sector Representation:
• Education
• Public Service
• Recreation & Leisure
• Industry
• Non-Governmental Organizations
• Carleton Retirees
SP4CE External Focus Groups

The questions we asked…

1. Briefly, what is your perception of Carleton as an institution engaged in the community?
2. How would you describe your experience in working or interacting with Carleton?
3. If you could wave a magic wand and change one thing about working with Carleton or using the services we offer to the community, what would it be?
4. Reciprocity in the sense of mutual respect and give-and-take is an essential principle of community engagement. Do you think your relationship with Carleton embodies this principle? If so, how? If not, what do you think is lacking?
5. How would you like to see Carleton supporting you, your organization and community in the future?

Bonus Question (time permitting): Are there any new ways you could see Carleton as an institution, engaging in the community?
Implications for SP4CE

Key strategic goals stemming from internal/external consultations (in progress)

1. Foster and maintain existing relationships, while building new ones for positive impact.
2. Develop systems and services to support our relationships.
3. Focus on creative and innovative community engagement that is sustainable.
4. Improve communications across our communities to support connection.
5. Provide greater recognition of collective efforts that exemplify community engagement.
Next steps for SP4CE

Consultation with the Board of Governors on Oct. 4th

Community Engagement Month

Launch and celebration of SP4CE Oct. 28th @ Carleton Dominion Chalmers Centre
Community Engagement Month Events

Week 1 Oct 3 – 7 Student Experience
• Student CE Fair (Oct 4)

Week 2 Oct 11 – 14 Research
• Carleton Centre for Community Innovation (3ci) Event (Oct 11)

Week 3 Oct 17 – 21 Pedagogy
• CCEP Community Connections Event (multi-morning)

Week 4 (Oct 24 – 28) Celebration
• SP4CE Launch and Celebration at CDCC (Oct 28)
Community is our founding story.

Carleton University was built by, for and with the community in 1942 to meet the needs of veterans returning from World War II. This deep connection to community continues to be an integral part of Carleton’s story.

As a public institution, it's our responsibility to generate, preserve and share knowledge, understanding that knowledge is created by society as a whole. Our collective effort is critical to solving our challenges and uplifting everyone. With this, Carleton is here to Serve Ottawa and Serve the World, a key strategic direction for the university.

Over the past several years through a number of initiatives, we have been learning about the depth and breadth of community initiatives happening across the university. We also realized that we could improve our community efforts by investing in organizational infrastructure and staffing to help support, promote and measure these activities in a strategic way. From this foundation, our new Centre for Community Engagement was formed, and we’re developing the first Strategic Plan for Community Engagement or SP4CE. We’ve started this process by consulting across the university to get a better sense of our own ‘house’ - where we think we’re at in working with communities and areas we think we need to improve.

However, we need to go further now, and we can’t develop this plan without recognizing, respecting and incorporating the valuable input of our broader community members, people like you who have something to say about how we might move forward.

A quick glimpse of ‘what we heard’ from people at Carleton…

What people talked about most!

- It’s important to leverage and improve the design of Carleton’s services, programs, places, and spaces for community impact.
- We need to support diverse groups in our engagement strategy.
- It’s imperative that we strengthen communication for community engagement.

Some tensions and pressures discussed…

- We need more time, resources and recognition for community-based work.
- What should the Centre do to strategically support community engagement?
- We have different views on how to define ‘community engagement’, in other words, who and what counts in engagement.

Small but striking things…

- We need to invest in measurement and evaluation to assess our engagement and impact with communities.
- The way we work with communities and what we produce together can be innovative and creative.
What we heard
A portrait of perspectives from Carleton

Strategic Plan for Community Engagement (SP4CE)
Progress Report
May 2022
Table of Contents

How did we get here? ................................................................................................................................. 2
What do we mean by community engagement (CE)? ............................................................................... 3
Our work so far ......................................................................................................................................... 5
What did we find? ..................................................................................................................................... 6

What are your broad aspirations for CE at Carleton? ........................................................................ 6
How can we better serve our external communities? ........................................................................ 6
What are Carleton’s strengths in CE? ................................................................................................. 6
How can Carleton build upon its strengths? ....................................................................................... 6

What does all this mean? ....................................................................................................................... 7

What people talked about most .......................................................................................................... 7

Leveraging and improving the design of services, programs, places, and spaces for community impact. ................................................................................................................................. 7
Recognizing and supporting diverse groups in our engagement strategy ........................................ 8
Strengthening communication for CE ................................................................................................. 8

Discussions around pressures and tensions ......................................................................................... 9

Time, resources and recognition for CE ............................................................................................. 9
What the Centre should do in CE ........................................................................................................ 9
Different definitions of CE .................................................................................................................. 10

Small but striking things people mentioned .................................................................................... 10

Measurement and evaluation to assess our engagement .................................................................. 10
Innovative and creative CE .................................................................................................................. 10

Where do we go from here? .................................................................................................................. 11

Appendix .................................................................................................................................................. 12
How did we get here?

Community is our founding story.

Carleton University was built by, for and with the community in 1942 to meet the needs of veterans returning from World War II. This deep connection to community continues to be an integral part of Carleton’s story. As a public institution, it’s our responsibility to generate, preserve and share knowledge, understanding that knowledge is created by society as a whole. Our collective effort is critical to solving our challenges and uplifting everyone. With this, Carleton is here to Serve Ottawa and Serve the World, a key strategic direction for the university.

We are already doing great work in this area, captured in this timeline spanning the last 30 years. Community engagement will continue to move organically throughout the university, with the Centre for Community Engagement there to help support, promote and measure these efforts in a strategic way. From the formation of the Community Based Research Network of Ottawa in 2000, to the important groundwork of the Oxygen Committee in 2009, to a campus-wide Community Engaged Pedagogy Group established in 2011, a continuous thread of enthusiasm and dedication links us all to community-engaged work at Carleton.

In 2020, Carleton launched its Strategic Integrated Plan (SIP), which included community engagement as a prominent feature. At the same time, Carleton joined the Carnegie Canadian Pilot Cohort to explore the possibility of adapting the Carnegie Classification of Community Engagement by post-secondary institutions to the Canadian context. We continue to work with this group, taking national leadership in establishing a Canadian Carnegie Classification.

What we learned from the SIP and participating in the Carnegie Pilot was significant. We learned more about the depth and breadth of community engagement initiatives that were happening in all areas of the university. We also realized that we could improve our community engagement efforts by investing in organizational infrastructure and staffing to help support, promote and measure these activities in a strategic way. It was on this foundation that the proposal for a new Centre for Community Engagement was built.
What do we mean by community engagement (CE)?

In 2020, Carleton’s Community Engagement Steering Committee advanced our thinking through two important contributions: the development of a working definition of community engagement (CE) and a Hub and Spoke model for working together. The committee also developed a Theory of Change document that highlighted the need for organizational infrastructure and plotted a course for how to get there. These would help spark campus and community-wide discussion on how we might collectively envision what we mean when we talk about engaging with the community.

At Carleton community engagement is a powerful method to develop, translate and mobilize knowledge for the greater good. We emphasize respectful, reciprocal relations with neighbours.

We engage with communities and institutions locally, nationally, and globally, from all sectors of society. These communities can be defined both by place and by what brings them together—shared interest, practice or circumstance.

Community engagement is both a social responsibility and connected to Carleton’s founding mandate, ensuring we remain valued and trusted by neighbours and communities.

In practice, it describes community-based initiatives by faculty, professionals, student services and students that are mutually beneficial in the eyes of all partners.

Partnerships can emerge from personal, professional, or institutional connections. They can be based on a community’s needs, Carleton’s research, teaching or service objectives, or shared concerns. Outcomes might be either immediate or future oriented, but all partners should value the long-term implications of working together.

At their heart, partnerships with an ethical foundation are built on good relationships, accountability, respectful dialogue, and reciprocity.

Community engagement is applied in situations where Carleton’s resources and structures can illuminate a real community issue and when the practical and lived experience of a community can illuminate academic theory or research.

The Hub and Spoke model (pictured on the next page) illustrates a process where various parts of the university work ‘back-and-forth’ to systematically support each other in community-based work. The model serves to recognize, respect and leverage parts of the university already invested in community engaged work to provide guidance in doing this type of work well.

When we set out to consult with stakeholders across Carleton about their thoughts and aspirations for community engagement, the Hub and Spoke helped us structure a Task Force broadly representative of units across campus, but also guided the organization of our consultations.
Carleton is located on unceded Algonquin land. As part of its commitment and responsibility to maintain good relations with Indigenous Peoples, Carleton has undertaken specific community engagement initiatives with surrounding Algonquin nations, especially Kitigan Zibi and Pikwakanagan.

As a result, Carleton has a closer connection, supported by ongoing conversations, with surrounding Algonquin communities. This helps to ensure an appropriate balance that recognizes the land and the valuable insight that Elders, Knowledge Keepers and community members hold. These efforts are in addition to the ongoing support that Carleton provides to First Nations, Métis and Inuit faculty, staff and students through the Centre for Indigenous Support and Community Engagement (CISCE), and the Office of the Assistant Vice-President, Indigenous Teaching, Learning and Research. Apart from formally recognizing this important work as an institution, we also heard about the significance of these initiatives throughout our consultations with Carleton community members.

Early work in community engagement is captured in Kinàmàgawin, a revitalized Indigenous strategy that was published by the Carleton University Strategic Indigenous Initiatives Committee in May 2020. Community engagement is a prominent theme that occurs throughout Kinàmàgawin, with the document’s first call to action focusing on “the development of an Indigenous Community Engagement Policy that would guide staff, faculty and students in the areas of recruitment, research and partnerships with Indigenous communities.”

Working closely with CISCE and the Algonquin nations is a critical part of the Centre’s work to discuss and develop foundational principles and supports around community engagement, artefacts that will naturally evolve over time as we build our relationships.
Our work so far…

Timeline of events and early exploration of community engagement themes

The Centre for Community Engagement was established in July 2021 and officially launched in October 2021.

At the launch, early themes around community engagement were explored and we held our first consultation with stakeholders across campus on what ‘community engagement’ means to them.

_____________________________________________________________________________________________

Where do I start?
Things to do, things to think about, actions to take

From classroom to community
Teaching a community engaged course

Work as imagined vs. work as done
The realities of working in complex community engagement initiatives

Community engagement in action
What might real impact and real outcomes look like?

Knowing me and knowing you
How are we and our students evaluating our partnerships and work with the community?

Tips and tools for community engagement in not-so-normal times
Challenges and opportunities emerging from the pandemic
_____________________________________________________________________________________________

One of the Centre’s first goals focused on developing a Strategic Plan for Community Engagement, or SP4CE, and forming a Task Force that would help guide the process. Although Carleton has been actively involved in the community since it was first established, this is the first university-wide plan to strengthen our commitment to working with communities. The development of SP4CE involves consultation on ‘what makes sense’ to support our members at Carleton and in the larger community.

To date, we have held internal consultations across the university with approximately 600 people to hear from faculty, staff, students and senior administrators about their experiences and ideas related to community engagement. These internal consultations have helped us develop a better sense of what’s going on in our ‘own house’, with the intent of providing some foundation to subsequently engage in discussions with external community members. Our next step in this process is to hear from our community members at large about their experiences with Carleton, and their aspirations for how we might interact or work together in the future.

Hearing from all these stakeholders—internal and external to Carleton—will help inform the strategic plan. The diversity of perspectives will allow us to see the bigger picture and develop ways of working together more intentionally and easily to co-create ideas, goals, and approaches. A commitment to developing these conditions will help shape more reciprocal relationships in our work, better benefit our communities and lead to greater societal relevance and impact.
What did we find?

Our questions encouraged students, staff, and faculty to reflect on community engagement now and in the future. The questions were broad and open to include diverse views. The Task Force focused on listening to avoid interjecting our own perspectives. At times, we were asked to define community engagement, perhaps for reference. However, we intentionally did not refer to the definition of CE developed by the Community Engagement Steering Committee so that new views and ideas could emerge.

What are your broad aspirations for community engagement at Carleton?
- Develop reciprocal relations, look beyond ourselves
- Prioritize Indigenous consultation and what that means for broader relations
- Advocate for Equity, Diversity, and Inclusion, cultural learning, understanding
- Support a lifelong and intergenerational approach
- Make the process more accessible, provide centralized support
- Develop communication strategies to connect and raise awareness
- Support CE teaching, learning and research networks to improve skills
- Foster exciting new ways to work and learn with communities
- Recognize and support the importance of place/space in engaging with community
- Ensure efforts are more tangible, applied, implemented, used
- Work with strategic partners to advance this area
- Actively frame Carleton’s intent, identity toward community engagement

How can we better serve our external communities?
We can…
- do all we can to become more accessible
- reflect on and improve our relationship building skills
- identify institutional barriers affecting efficiency, ease, experimentation
- simplify the system to improve people’s experiences
- recognize the importance of time and timing
- re-examine our work/jobs to make room, make it count
- innovate in teaching and learning, develop creative curriculums
- appreciate, leverage student experience, knowledge and leadership
- identify and advocate for funding
- identify metrics to evaluate impact

What are Carleton’s strengths in community engagement?
- There have been community engagement strategies before this…
- This means a lot to us as an institution, as part of our identity
- We’re open, approachable, and friendly with each other
- We see the weight and responsibility involved
- We have a diverse and balanced approach
- We’re agile, we see exciting potential for innovation

How can Carleton build upon its strengths?
We can…
- broaden our definition
- commit to listening more intently and actively
- recognize and create incentives through funding and awards
- better support our neighbours and neighbourhoods here and beyond
- design ‘our house’ to strategically rebuild
- focus on optimizing time, resources, and processes
- collect and communicate our efforts internally and externally
- develop innovative, alternative curriculum strategies
- better recognize and support student experience and leadership
What does all this mean?

Strategic themes and ideas emerged from consulting with Carleton stakeholders. We clustered ‘headlines’ that were discussed into themes—themes that capture what people talked about most, and what was not talked about a lot yet was striking to see. We also developed themes capturing tensions or differences of opinion, as well as pressure points. Finally, we captured the ideas shared by Carleton community members. Along with input from our external community members, all of this will be valuable to consider in developing SP4CE.

What people talked about most

Leveraging and improving the design of services, programs, places, and spaces for community impact. A key theme centred around leveraging and improving the design of our services, programs, places and spaces to better support community engagement and impact. It was common to hear things like “orienting and supporting new faculty or staff”, “streamlining”, “making things easier”, “making processes more accessible” in these conversations. The importance of the campus as a welcoming place for community members, as well as our physical presence in the community through places like Carleton-Dominion Chalmers Centre and Kanata North were also mentioned frequently.

Ideas

- Develop a centralized service and digital strategy.
- Identify system-level barriers and streamline processes.
- Expand student-focused CE programs (e.g., Co-op, Virtual Ventures).
- Provide a variety of space types for people to come together on and off campus.
- Identify and advertise resources for community use (e.g., library, workshops, games).
- Develop channels and opportunities to share ideas to work with or serve community.
- Provide new faculty, staff and student CE orientation.
- Form an advisory board representing the university for strategic visioning, planning.
- Develop pedagogy, learning outcomes, templates, models, etc. with Teaching and Learning Services.
- Connect international students with the Canadian context outside of the university.
- Create opportunities for more consistent, everyday interactions and acts of reciprocity.
Recognizing and supporting diverse groups in our engagement strategy.
This theme centres around diverse communities and approaches to be engaged respectfully in community-based work. This might involve understanding the customs, perspectives, institutions and achievements of a particular group, nation, generation, organization or sector. Drawing attention and priority specifically to Indigenous engagement as a foundational approach was discussed as part of this theme. Conversations focused on developing better cultural understanding and appropriate supports to facilitate engagement. There was also a strong focus on students as an important group to recognize for their experience and leadership in community-based work.

Ideas
- Carleton can be unique if we embrace a broader definition of community engagement.
- Invite diverse community members to join our committees to expand our perspectives.
- Focus on engaging well internally and externally with diverse communities.
- Work with diverse members of alumni as a strategic group to broaden mentorship and careers.
- Acknowledge different CE approaches and capacities: through teaching, learning and research; governmental, non-governmental and industry projects; and informal, individual, or personal work.
- Engage disciplines not known for CE to bring attention to their contribution.
- Recognize that we need appropriate approaches to engage diverse communities.
- Develop a process and support for when things don't go well.

Strengthening communication for community engagement. The need to focus on communications to support community engagement came up frequently in all four questions. This included things like strategically and systematically raising awareness around what we are doing (both Carleton and community members), but also included comments around managing our internal and external communications to strengthen our relationships. Other challenges focused on communicating a more intuitive and cohesive ‘front door,’ so community members know where to enter and how to navigate once inside.

Ideas
- Tell stories about what we're collectively doing as a larger community.
- Tell stories at a systems level and through more informal, word-of-mouth channels.
- Build more formal communications with strategic liaisons (e.g., government, news).
- Support Carleton members to go into the community more actively and consistently.
- Leverage active CE groups to communicate and host events for better reach.
- Develop interactive ways to familiarize people with Carleton.
- Develop a strategy to increase the presence of the Hub for Good.
- Develop a database to map our relations and outreach with community members.
- Create a digital communications and social media strategy.
Discussions around pressures and tensions

Time, resources and recognition for community engagement.
People identified pressures around time, resources and lack of recognition for community-based work. So, it will be important for our plan to outline steps to help build capacity to address these pressures and increase recognition for this work.

Ideas
- Develop resources: How to start, what are the steps, who to connect with?
- Develop process maps, classifications to make the system more explicit, easier to understand.
- Develop university wide agreements to reduce duplication, workload and remove barriers.
- Offer expertise, mentors on doing CE to reduce workload.
- Develop guides, modules with Teaching and Learning Services.
- Incentivize faculty and staff through awards, formal recognition.
- Reassess work structures and commitments to make more time for CE (e.g., reduce committees).
- Provide official, formal recognition for community members (e.g., letters, awards, events).
- Compensate community members financially or with in-kind matching.
- Develop university-wide communication/database on CE opportunities to save time, effort.

What the Centre should do in community engagement. Another tension was that people shared very different views on what the Centre should be doing - from more granular day-to-day matchmaking, to higher-level, systematic support. Knowing this, it will be important to define the Centre’s role so that it has the greatest impact, while managing people’s expectations about what the Centre can and should do.

Ideas
- Work on institutional barriers to CE.
- Develop a centralized repository of prior CE work.
- Fill systemic gaps that spokes can’t achieve readily on their own.
- Provide centralized CE knowledge focused on pedagogy, research, ethics, training, communication, funding, work design, and management.
- Develop a hub/customer relationship management system to connect community members with Carleton, track CE (e.g., Hub for Good).
- Develop a systematic approach to evaluate and measure CE with key partners.
- Seek out strategic partnerships to engage across the university.
- Orient and support student training and engagement.
- Continually revisit and renew SP4CE.
Different definitions of community engagement. We observed tension related to how people envision community engagement. Some people shared views about who and where the university should engage or what counts as ‘community engagement’. Others considered CE as a broader umbrella that includes a variety of different sectors and activities. Still others expressed uncertainty around what this means and how they see themselves in it.

Small but striking things people mentioned

Measurement and evaluation to assess our engagement. We were surprised people didn’t talk a lot about measuring or evaluating our relationships with community members. We know groups across campus are very active in measuring community-based work, but it didn’t surface in these discussions. We currently don’t have a systematic, university-wide process in place for measurement or evaluation. So, it will be important to develop a plan that can build on the expertise and experience across the university to develop systematic measures.

Ideas

- Develop guides, processes and tools to collect feedback from the community.
- See feedback and input as an opportunity to keep things relevant and fresh.
- Emphasize more applied work with more practical and tangible outcomes.

Innovative and creative community engagement. This last theme wasn’t talked about a great deal but is particularly exciting: how community engagement at Carleton results in innovation, and how we are creative in doing this work. Although not frequently discussed, this theme speaks mountains to a major thread we see in the Strategic Integrated Plan. It discusses fostering excellence and innovation in “knowledge sharing, benchmarking, trends and best practices” and also points to the value of an “entrepreneurial” mindset. Social entrepreneurship is firmly seated in principles of good community engagement to achieve desired social change. So, hearing this from our colleagues shows promise for developing this theme further to advance our current practice. But at a larger level, it may help us challenge paradigms or structures that may be undermining transformative movement needed for social change.

Ideas

- Support community projects that focus on leading areas of innovation, social innovation.
- Build our approach and commitment to innovation in CE teaching and learning.
- Develop creative strategies for transferring, mobilizing knowledge.
- Explore alternative accessible mediums to share (e.g., multi-media, social media, multi-sensory).
- Open our doors with a creative mindset to the community.
Where do we go from here?

Our next steps involve consultations with external community members. We will share what we’ve learned so far about our own house with the larger community. We want to hear the perspectives of our external community members on their experiences of working with Carleton and their aspirations and needs to support them and their work.

We’ll put this bigger picture of perspectives together from Carleton and the community for review and feedback. This work has been, and continues to be, critical in developing and implementing the Strategic Plan for Community Engagement (SP4CE), which will be published in the Fall of 2022.

If you have any further thoughts…

Get in touch.

communityengagement@carleton.ca
Appendix

Groups that participated in community consultations across Carleton

- Open Consultations (open to campus-wide participants)
- Students
- Board of Governors: Advancement and University Relations Committee
- Office of the Provost and Vice-President (Academic)
- Office of the Vice-President (Finance and Administration)
- Office of the Vice President (Research and International)
- Office of the Vice-President (Students and Enrollment)
- Faculty of Arts and Social Sciences
- Faculty of Engineering and Design
- Faculty of Public Affairs
- Faculty of Science
- Sprott School of Business
- Faculty of Graduate and Postdoctoral Affairs
- MacOdrum Library
- Department of University Advancement
- Department of University Communications
- Community Engagement Steering Committee
- Committee for Community Engaged Pedagogy

SP4CE Task Force

Chantal Trudel, Co-chair
Director, Centre for Community Engagement
Associate Professor, School of Industrial Design, Faculty of Engineering and Design

Karen Schwartz, Co-chair
Associate Vice-President (Research and International), International Liaison Officer
Full Professor, School of Social Work, Faculty of Public Affairs

Katherine Graham, Co-chair
Professor, School of Public Policy & Administration; Dean Emerita, Faculty of Public Affairs

Catherine Khordoc, Executive Sponsor
Deputy Provost (Academic Operations and Planning)
Full Professor, Department of French; School of Indigenous and Canadian Studies, Faculty of Arts and Social Sciences

Lorraine Dyke, Former Co-chair
Vice-President (Finance and Administration)
Full Professor, Sprott School of Business

Rebecca Drodge, Administrative Support
Administrator, Centre for Community Engagement

Jane van den Dries, Communications Support
Manager, Strategic Communications, Office of the Provost and Vice-President (Academic)

Nancy Arnold, Facilitation Support
Director, Office of Quality Initiatives
Thank you to our Consultation and Task Force Facilitators from the Office of Quality Initiatives:

Mandi Crespo, Senior Quality Advisor  
Amanda Dobbie, Senior Quality Advisor  
Kaylee Mask, Senior Quality Advisor  
Samantha Munro, Healthy Workplace Officer  
Jaymie Koroluk, Assistant Director (Wellness, Leadership & Organizational Development)

A special thanks to our dedicated Task Force members for their time, support and ideas:

Susan Aitken, Full Professor, Institute for Environmental and Interdisciplinary Studies, Faculty of Science  
Peter Andree, Full Professor, Political Science, Faculty of Public Affairs  
Nancy Arnold, Director, Office of Quality Initiatives  
Christina Chenard, Assistant Director, Advancement Alumni and Donor Relations  
Philip Macho Commonda, Algonquin Community Liaison Officer, Centre for Indigenous Support and Community Engagement  
Sandra Dyck, Director, Carleton University Art Gallery, Faculty of Arts and Social Sciences  
Jennifer Gilbert, Associate Director, Centre for Initiatives in Education, Faculty of Arts and Social Sciences; Instructor and Peer Mentorship Program Coordinator, Enriched Support Program  
Amanda Goth, University Secretary, Office of the University Secretariat  
Avee Himanshu Purohit, Student, Master of Public Policy and Administration  
Jeremy Laliberte, Full Professor, Mechanical and Aerospace Engineering, Faculty of Engineering and Design  
Emerald Leece, Student, Bachelor of Arts in English (Honours), Minor in Business  
Benny Michaud, Director, Centre for Indigenous Support and Community Engagement  
Sandra Nichol, Director, Executive Education, Sprott School of Business  
Carol Payne, Full Professor, School of Art and Culture; Associate Dean (Research and International), Faculty of Arts and Social Sciences  
Laura Pickell, Instructor I, Health Sciences, Faculty of Science  
Sujit Sur, Associate Professor, Management, Sprott School of Business  
Andy Thompson, Measurement and Evaluation Specialist, READ Initiative  
Jane van den Dries, Manager, Strategic Communications, Office of the Provost and Vice-President (Academic)  
Chiara Webb, Student Development and Community Outreach Coordinator, Student Experience Office
Government Relations Update
Alastair Mullin
Director, Government Relations
September 2022
Strategic Government Relations Plan

• A three-year strategic plan to focus on new and existing activities and goals for our institution
  • Bring government to campus and the campus to government
  • Speak with a clear and distinct Carleton voice
  • Innovation and distinction
Advancing Government Relations at Carleton

- Developed and implemented an electoral strategy
- Growing our practice with the assistance of Co-op
- Expanded proactive engagement and reactive support for services and faculty
Focus for the coming year

• Focus on the renewal at the provincial and municipal level

• Solidifying our federal presence through a Carleton Caucus

• Proactively positioned on strategic requests to government such as the Wellness Hub
Results

• Directly engaged with the City on the Wellness Hub.

• Proactively engaged with the OVPRI on climate change and housing
2020-2021 Provincial Metric Ratios
Finance Committee
Sept. 14, 2022
Financial Metric: Net Income/Loss Ratio

Net income/loss as a percentage of total revenues. A positive percentage is desirable, however overly positive percentages could suggest resources are not being effectively deployed.

<table>
<thead>
<tr>
<th>Carleton 2020-2021</th>
<th>Ontario 2020-2021</th>
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<tbody>
<tr>
<td>5.8%</td>
<td>7.0%</td>
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</table>
Financial Metric: Primary Reserve Ratio (Days)

Expendable net assets (i.e. reserves and unrestricted endowment funds) divided by total expenditures. Number of days the university could operate without receiving any revenue.

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<thead>
<tr>
<th>Carleton 2020-2021</th>
<th>Ontario 2020-2021</th>
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</thead>
<tbody>
<tr>
<td>272</td>
<td>159</td>
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</table>
Financial Metric: Viability Ratio

Expendable net assets (i.e. reserves and unrestricted endowment funds) divided by total long-term debt. A higher percentage is desirable. This ratio represents funds on hand to settle long-term obligations.

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<th>Carleton 2020-2021</th>
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<tr>
<td></td>
<td>857.4%</td>
<td>156.7%</td>
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</table>
Financial Metric: Interest Burden Ratio

Interest payments on debt as a percentage of total expenses (adjusted for depreciation). Lower percentage is desirable.

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<th>Carleton 2020-2021</th>
<th>Ontario 2020-2021</th>
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<td>0.5%</td>
<td>2.1%</td>
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## Financial Metric: Net Operating Revenues Ratio

The cash flows from operations divided by total revenue. A positive percentage is desirable.

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<td>Meeting Schedule</td>
<td>Work Plan</td>
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<td>October 4</td>
<td>FOR APPROVAL</td>
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- Provost and Vice-President (Academic) Extension (TBD) |
|                  | FOR INFORMATION |
|                  | - Report from the Chair  
- Report from the President  
- Report from the Committee Chairs  
- President’s Goals 2022/23  
- Senate Annual Report |
|                  | CONSENT AGENDA OPEN: |
|                  | - Board Award Criteria & Jury (approval)  
- Founders Award Criteria & Jury (approval)  
- Audit and Risk Committee Terms of Reference (approval)  
- Update on the 2022/23 Operating Budget (Q1)  
- Update on the 2022/23 Ancillary Budget (Q1)  
- ITS 2021/22 Annual Report  
- Board Schedule 2022/23  
- Campus Master Plan Renewal Process Update  
- Overview of Major Capital Projects  
- New Student Residence Project Update  
- Major Capital Renewal Planning Update  
  - Renovations to Paterson Hall Status Update  
  - Renovations to Loeb Building Status Update  
- Capital Renewal (Deferred Maintenance) Update  
- Update on Transportation Plan and Parking Strategy  
- Project Conclusion Report - Co-generation Facility  
- Update on Transportation Plan  
- Reputational Enhancement Project - Brand Campaign Update  
- Advancement Update - Overview and Strategy for 2022/23  
- Government Relations Overview |
|                  | CONSENT AGENDA CLOSED: |
|                  | - Risk and Insurance Services Annual Report  
- Board Work Plan 2022/23 |

As of September 23, 2022
<table>
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<tr>
<th>Date</th>
<th>FOR APPROVAL</th>
<th>FOR INFORMATION</th>
<th>CONSENT AGENDA OPEN</th>
<th>CONSENT AGENDA CLOSED</th>
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<tr>
<td>December 6</td>
<td>• Framework for the 2023/2024 Operating Budget</td>
<td>• Report from the Chair</td>
<td>• Project Conclusion Report - Engineering Student Design Centre</td>
<td>• Status of Implementation Internal Audit Recommendations</td>
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<td></td>
<td>• New Student Residence - Budget Request</td>
<td>• Report from the President</td>
<td>• Strive for Sustainability Annual Report</td>
<td>• Enterprise Risk Assessment Report</td>
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<tr>
<td></td>
<td>• Regional Aquatics Centre and Wellness Hub - Capital Proposal Form (TBD)</td>
<td>• Report from the Committee Chairs</td>
<td>• Update on Carleton University Dominion Chalmers Master Plan</td>
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<td></td>
<td>• External Auditing Services Contract (closed)</td>
<td>• Equity, Diversity and Inclusion Action Plan Annual Update</td>
<td>• Ongoing Capital Projects Status and Capital Renewal (Deferred Maintenance)</td>
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<td>March 9</td>
<td>• 2023/2024 Ancillary Budget [OPEN]</td>
<td>• Digital Strategy</td>
<td>• Campus Master Plan - draft</td>
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<td></td>
<td>• Proposed External Audit Plan and Letter of Engagement from the Auditors</td>
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<td>• Investment Report on the Endowment</td>
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<td></td>
<td>[CLOSED]</td>
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<td>• Pension Plan Report</td>
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<td></td>
<td>• Campus Master Plan [OPEN]</td>
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<td>• Renovations to Loeb Building - Phase 1 - Capital Proposal Form [OPEN]</td>
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As of September 23, 2022
### Board of Governors Annual Work Plan
#### 2022/2023 Board Year

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| Material deadline: April 13 | - 2023/2024 Operating Budget  
- 2023/2024 Domestic Tuition Fees  
- 2023/2024 Student Associations Fees  
- 2023/2024 Miscellaneous Fees  
- Board Award for Outstanding Community Achievement Recipient  
- Founders Award Recipient |

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| - Report from the Chair  
- Report from the President  
- Report from the Committee Chairs  
- Coordinated Accessibility Strategy Annual Report  
- International Strategic Plan Annual Report |

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<th>CONSENT AGENDA CLOSED:</th>
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| - Internal Audit Report - Capital Project Management  

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| Material deadline: May 24 | - Board Membership  
- Signing Officers  
- Officers of the Board  
- Committee Chairs |

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<th>FOR INFORMATION</th>
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</table>
| - Report from the Chair  
- Report from the President  
- Report from the Committee Chairs  
- Coordinated Accessibility Strategy Annual Report  
- International Strategic Plan Annual Report |

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As of September 23, 2022

- Greenhouse Gases and Carbon Pricing  
- 2022/2023 Operating Financial Update and Status of Reserves  
- Audited Financial Statements of the Carleton University Retirement Fund

CONSENT AGENDA CLOSED:

- Internal Audit Report - Capital Project Management  

CONSENT AGENDA OPEN:

- Statement of Investment Policy and Procedures for the Retirement Fund (approval)  
- Investment Report on the Endowment  
- 2021/2022 Provincial Metric Ratios  
- Ongoing Capital Project Status Report  
- Capital Renewal (Deferred Maintenance) Plan for 2023/24

CONSENT AGENDA CLOSED:

- Risk-Based Internal Audit Plan 2023/24  
- Internal Audit Report - Travel & Expense Management  
- Internal Audit Report - IT Security  
- Status of Implementation Internal Audit Recommendations  
- Environmental Health and Safety Annual Report  
- Enterprise Risk Management Dashboard
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<th>Report from the Chair</th>
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<tr>
<td>Report from the President</td>
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<td>Strategic Integrated Plan Annual Report</td>
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<td>Mental Health Framework Annual Report</td>
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<td>Presidents Final Report on Goals 2022/2023</td>
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<td>President Annual Report</td>
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<td>Chair of the Board Annual Report</td>
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CLOSED CONSENT AGENDA:

- 2022/2023 Board Self-Assessment Summary
- 2022/2023 Presidential Assessment Summary

- September 2024 - Sexual Violence Annual Report and Honouring Each Other Strategy Annual Update
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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 April 22, 2022 at 2:00 pm
Via Videoconference

Minutes


Regrets: J. Milner, B. O’Connor, J. Taber, W. Ye

Absent: P. Andrée, V. Asi, C. Ayalogu, V. Gonzalez, B. Hallgrimsson, A. Hashimi, F. Hosseinian, K. Keller, L. Kostiuk, E. Kwan, R. McKay, D. Okoth, G. Patey, C. Young, P. Wolff,

Recording Secretary: K. McKinley

1. Welcome & Approval of Agenda

The meeting was called to order at 2:02 pm. The Chair began the meeting by acknowledging the recent passing of Dr. James Downey, who served as Dean of the Faculty of Arts & Social Sciences and President Pro-tempore at Carleton, before receiving the Order of Canada in 1996. The Chair also acknowledged the passing of Mr. Glen Kit, an alumnus of Carleton who served for over 40 years as Lab Coordinator in the Department of Biology, before retiring in 2020. A Senator also noted the recent passing of Professor Mohamed El-Tanany, from the Department of Systems and Computer Engineering. The Chair expressed
condolences to those who knew and loved these members of the Carleton community.

The Chair welcomed to Senate Dr. Lorraine Dyke, who began her new position as Vice-President Finance and Administration on April 1st, and acknowledged outgoing student ex officio members Chi-Chi Ayalogu (GSA), Victoria Asi (GSA), Ahmad Hashimi (CUSA) and Jennifer Ramnarine (CASG). New student ex officio members will be joining Senate on June 3rd.

It was Moved (M. Haines, J. Sinclair-Palm) that Senate approve the agenda for the meeting of Senate on April 22, 2022, as presented. The motion PASSED.

2. Minutes: March 25, 2022

It was Moved (S. Sadaf, G. Garland) that Senate approve the minutes of the meeting of Senate of March 25, 2022, as presented.

A Senator asked for a small addition to the minutes to clarify the response to a question in the Question Period section.

With this change, the motion PASSED.

3. Matters Arising

There were none.

4. Chair’s Remarks

The Chair began his remarks with an update on the Covid pandemic and its impact on Carleton in the coming weeks. He noted that Ottawa is in the middle of a 6th wave. As a result, and in accordance with public health recommendations, Carleton will be maintaining a mandatory mask mandate until further notice. Current modeling indicates that the sixth wave will recede in 4 – 6 weeks.

The Chair informed Senators that Carleton will be celebrating Convocation this June with 2 weeks of in-person ceremonies, the week of June 13 - 17 for returning 2020 and 2021 graduates, and the week of June 20 - 24 for 2022 graduates. The schedule of ceremonies for both weeks has been posted on the Convocation website, and the Chair encouraged Senators to register to attend one or more ceremonies. The deadline to sign up in May 13.
The Chair reminded Senators that April 22nd 2022 is also Earth Day. Carleton has a strong commitment to sustainability and meeting the challenge of climate change through teaching research and campus operations. The Association for Sustainability in Higher Education (AASHE) has recognized Carleton’s leadership in this regard by awarding Carleton a Gold Certification in its latest STARS (Sustainability Tracking and Ranking System) assessment.

The Chair noted that Carleton’s Campus Master Plan will be updated in 2022. The Master Plan provides vision for the future development of the campus along with associated operational strategies and plans. This third refresh will be led by VP Finance & Administration Lorraine Dyke, and will include opportunities for input from faculty, staff and students. The Chair encouraged all to contribute ideas and suggestions.

The Chair concluded his remarks by highlighting the following recent achievements:

- Rowen Thomson (Medical Physics) and Boris Vukovic (Industrial Design – Accessibility) each have received $250,000 from the New Frontiers in Research Fund, for interdisciplinary research into new areas.
- EY Canada and Carleton’s Sprott School of Business are collaborating to foster leadership and talent development for students in the Sprott Student Consulting Group. Through this partnership, professionals from EY will provide mentorship and coaching to Sprott student consultants.
- The first annual TechTalks Ericsson-Carleton Symposium, focusing on 5G wireless communications research, was held virtually in March. The event showcased the collaboration between Ericsson and Carleton and drew hundreds of attendees from Canada, the United States and Europe.
- The Institute of European, Russian and Eurasian Studies in collaboration with the Jean Monnet Centre of Excellence at Carleton hosted an online roundtable on April 14. The event brought together a panel of experts, including Senator James Milner from the Department of Political Science, to discuss Ukrainian refugees, the responses to the ongoing humanitarian crisis and possible lessons learned from other recent conflicts involving mass migration.
- The first annual Women in Sports Leadership Symposium was held on April 13 via Zoom videoconference. This student-led initiative aims to inspire the next generation of women pursuing careers in the sports industry.
- Finally, the Chair extended congratulations to the Carleton Ravens Men’s Basketball team for achieving their 16th national championship. Congratulations were extended to Coach Taffe Charles, and U Sports player of the year Lloyd Pandi, who is entering the MBA draft.
5. Question Period

Senators submitted in advance five questions that fell into four broad topics:

a) Mask Mandate (2 questions)

- Julia Sinclair-Palm: Covid numbers seem to be on the rise again and I’m worried about the upcoming changes to remove mask mandates on campus. I know that Brock University is keeping their mask mandate and I’m wondering why we wouldn’t do the same. With so many students and faculty getting Covid in the last month, it seems crucial that we keep a mask mandate to protect our community. I am also thinking about convocation and the risks associated with being in close quarters with little ventilation, especially if folks aren’t wearing masks. I would love to celebrate the success of my students, and I know that I will be hesitant to attend convocation unless masking is required. It would be helpful for me to know more about the arguments against masking on campus when the benefits are so great.

- Morgan Rooney: On March 29th, Carleton announced its plan to suspend vaccine and masking requirements on campus starting May 1st. Since that time, as of the date of writing this (April 8th), the following developments have taken place, all of which indicate that the COVID-19 situation in the province is worsening and that we are in the midst of a 6th wave of the pandemic:

  According to its own reporting, Carleton experienced a near-threefold increase in COVID-19 cases on campus for the month of March 2022, with 270 cases reported as of March 31. For all prior months (Sept. – Feb.), Carleton reported approximately 100 cases, meaning that ~73% of all cases since the start of the Return to Campus plan took place in the last month. As reported by the Ottawa Citizen, Carleton has since also removed all case count figures from its website, making it impossible to get updated data.

  According to the Ottawa COVID-19 website, Ottawa is experiencing a substantial increase in its COVID wastewater viral signal. Wastewater levels are often described as a “lagging indicator,” because they usually rise in advance of surges in reported cases and hospitalizations.

  According to the Science Table COVID-19 Advisory for Ontario, Ontario is
experiencing a substantial increase in the COVID “R(t)” (Reproduction) rate. The R(t) rate for Ontario is now well over 1, indicating that the province is experiencing “exponential growth” with respect to COVID cases.

According to the CBC, Ontario is seeing “100,000 to 120,000 new cases of COVID-19 cases daily.” The source for that estimate is Dr. Peter Juni, the director of Ontario’s COVID-19 science advisory table.

According to its own website, Brock University is maintaining its vaccine and masking mandates beyond the Winter 2022 term, showing that it is within the power of other Ontario universities to the same.

Given these factors, will administration assert the authority it has and, in the name of the health and safety of all members of the Carleton community, maintain most or all of the health and safety mandates currently in place—particularly the masking mandate?

These two questions were addressed by the Chair in the Chair’s Remarks. In response to a follow-up question the Chair noted that at this point masks will be required for Convocation; an update will be provided at the next Senate meeting.

b) Covid reporting on website (A Chandler)

As of April 6, the university's Website was no longer showing COVID cases on campus, despite the numbers being visible earlier for January, February and March of this year; nor was it showing past numbers of reported COVID on campus. What is the reason for the change? Given that classes and exams continued to take place in April, members of the community might welcome this information.

https://carleton.ca/covid19/updates/cases-on-campus/

Response by Chair and VPSE Suzanne Blanchard: Because of the nature of the Omicron variant, it is no longer possible to obtain an accurate picture of the progression of the pandemic through case count. Ottawa Public Health is no longer providing data, and the Rapid Antigen tests are not entirely reliable. Members of the Carleton community who are experiencing symptoms are still expected to complete the symptoms reporting via CU Screen, and can expect a follow up by Environmental Health & Safety or by Health and Counselling Services.
c) **Summer enrolment (M. Rooney)**

What do our enrollment and course cancellation numbers look like for our Summer 2022 in-person course offerings in each of the five faculties? If they are anomalous, do we have any sense as to whether or not student concerns about the health and safety of Carleton classrooms after May 1st may have been a factor in student decision-making? For that matter, what steps has administration taken since March 21st, 2022, to consult with Carleton students regarding the health and safety regulations that they would like to see in place at Carleton moving forward?

Response by VPSE Suzanne Blanchard: Summer enrolment is tracking to meet the expected pre-Covid levels. A mixture of online and in-person courses are offered to balance pedagogical needs and student preferences, but the goal is to bring students back to in-person learning.

In response to a follow-up question, VPSE Blanchard noted that the tunnels are currently not operational as the new ventilation system has not yet been installed. As a result, tunnel access over the summer will remain restricted to authorized personnel only and to those with approval for accessibility reasons.

d) **Preparations for the Fall (J. Sinclair-Palm)**

Thinking ahead to the fall, I'm interested in how faculty can prepare for the hopeful return to mostly in-person classes. I have heard from a lot of educators in both universities and k-12 classrooms that students are struggling to socialize with each other and to verbally communicate their ideas in class. What can we do as a university to support people in this significant transition to in-person learning?

Response from VPSE Suzanne Blanchard: A team within Students & Enrolment is engaging with this issue, and working on strategies to ease the transition back to in-person teaching and learning. The S&E team is looking at developing an expanded Orientation for 1st, 2nd and 3rd year students that will include information on programs, services, activities and social opportunities for students coming onto campus for the first time. The goal will be to provide additional support for students from all years who may be concerned about the transition to full-time in-person on-campus learning.
6. Administration (Clerk)
   a) Alternate Marshals for Convocation
      According to the Academic Governance of the University (AGU), the Clerk of Senate may, with approval from Senate, designate a full-time tenured faculty member to act as Marshal of Convocation (AGU Article 6, Section 2). Since the June 2022 Convocation will consist of 40 ceremonies spread out over 2 weeks, the Clerk is requesting that Senate approve the designation of two previous Clerks of Senate to assist and to serve as alternate Marshals for some of these ceremonies.

      It was MOVE (K. Taylor, S. Ajila) that Senate approve the designation of Professor Donald Russell and Professor Betina Kuzmarov as Marshal of Convocation for ceremonies between June 13 and June 24, 2022, as needed. 
      The motion PASSED.

   b) Senate Survey - last call
      The Clerk reminded Senators who have not already done so, to participate in this year’s Senate Survey. An invitation with link to the survey was sent to Senators in early April; the survey closes on April 30th.

7. Reports
   a) Senate Committee on Curriculum, Admissions and Studies Policy (SCCASP)
      Committee Chair Howard Nemiroff presented 3 items for approval and 1 item for information.

      Items for approval:

      Sprott Streams (re avoiding overlapping newly developed Sprott streams) 
      It was MOVE (H. Nemiroff, S. Maguire) that Senate approves the revisions to Regulations TBD-1598 R-UG-Business effective for the 2022/23 Undergraduate Calendar as presented. 
      The motion PASSED.

      3.2.6 Minimum CGPA Requirements (CGPA requirements for continuation adjusted to conform to ACE re credits thresholds)
      It was MOVE (H. Nemiroff, S. Sivathayalan) that Senate approves the revisions to Regulations TBD_1873 R-UG-3.2.6 Minimum CGPA Requirements effective for the 2022/23 Undergraduate Calendar as presented.
The motion **PASSED**.

**3.4.6 Minimum CGPA Requirements for Graduation** (CGPA requirements for graduation – explains how students are moved into a non-honours equivalent)

If was **MOVED** (H. Nemiroff, K. Moss) that Senate approves the revisions to Regulations TBD-1882 R_UG_3.4.6 Minimum CGPA Requirements for Graduation effective for the 2022/23 Undergraduate Calendar as presented.

In response to a question from a Senator, the committee Chair noted that the movement out of an honours program is one option to help a student complete the degree, if the CGPA requirements for graduation in an honours program cannot be met. Generally, this is automatically done if the CGPA is under 6.0 and the student has completed 15.5 credits or more. The committee Chair noted that regular ACE evaluation each semester can alert students to issues and provide them with chances to catch up, but if necessary, this “off ramp” can provide a way forward if it is not possible to continue in the honours program. In response to a follow-up question, it was noted that there could be other options for students whose CGPA is very close to 6.5, such as retaking a course or two, but these would be decided on a case-by-case basis.

The motion **PASSED**.

**Item for Information:**
- Minor modifications for April 2022

**7-Reports, cont’d**

**b) Senate Quality Assurance and Planning Committee**
Committee Chair Dwight Deugo presented one major modification for approval.

It was **MOVED** (D. Deugo, M. DeRosa) that Senate approve the introduction of the 15.0 credit BSc program in Physics as presented with effect from Fall 2023.

The motion **PASSED**.
c) Senate Executive Committee
The Clerk of Senate presented this item. The Senate Executive committee is responsible for nominating Special Appointments to Senate, including the COU Academic Colleague and the Alumni Representative. Senate then votes to recommend these to the Board of Governors for approval.

It was MOVED (E. Sloan, L. Dyke) that Senate recommends to the Board of Governors the nomination of Kim Hellemans as Senate COU Academic Colleague, to serve a 3-year term of service beginning July 1, 2022. The motion PASSED.

It was MOVED (E. Sloan, K. Taylor) that Senate recommends to the Board of Governors the nomination of Margaret Haines as Senate Alumni Representative, to serve a 3-year term of service beginning July 1, 2022. The motion PASSED.

7-Reports, cont’d

d) Senate Academic Governance Committee (SAGC) (Clerk)
The Senate Academic Governance Committee is responsible for directing the nomination and election process for Senate committee membership. On an annual basis, SAGC members review Senate faculty and student committee nominations to make recommendations to Senate on the allotment of membership positions, based on a number of established protocols, including nominee preference, background and experience.

The committee received nominations from 5 faculty members and 17 students, and presented the following recommendations to Senate:

Senate Executive Committee
• Root Gorelik – Faculty member
• Sean Maguire - Undergraduate student (incumbent)

Senate Quality Assurance and Planning Committee
• Pamela Wolff – faculty member (Science)
• Sara Berkes – Graduate student
• Jeff Frank – Undergraduate student

Senate Committee on Curriculum Admissions and Studies Policy
• Laura Hnatiw – Graduate student
• Jennifer Ramnarine – Undergraduate student
It was moved (E. Sloan, S. Ajila) that Senate ratify the new Senate committee appointments, as presented, for terms of service beginning July 1, 2022. The motion passed.

8. **Draft 2022-23 Operating Budget Presentation**

Provost Jerry Tomberlin presented a report to Senators on the draft Operating Budget for 2022-23. Following the presentation to Senate, the Operating Budget will be presented to the Board of Governors for approval on April 28, 2022.

The Provost began by reviewing the planning cycle, planning principles and prioritization process that is involved in drafting the annual operating budget.
The planning cycle spans almost an entire year, beginning in the fall with the establishment of guidelines and the planning framework. Budget planning principles include enhancing Carleton’s academic mission, supporting the goals of the Strategic Integrated Plan, and achieving the performance targets of the current Strategic Mandate Agreement. In general, the goals are financial stability and sustainability, with a conservative budget that will ensure continued success following the health crisis of the past few years.

Over the longer term, the university will seek to diversify and increase revenue from non-government sources while investing in strategies to promote the strategic use of limited resources.

The proposed budget is based on the assumption that the corridor model and performance-based funding will continue, and that enrolment will remain stable over the current planning horizon. Domestic tuition fees also are assumed to remain frozen for 2022-23 and 2023-24, with the possibility of modest increases thereafter. Financial risk will be mitigated by conservative base budget allocations, and by encouraging RPCs to use existing carry-forward funds.

The revenue and expenses of the proposed 2022-23 operating are $521M which shows a modest increase of $6M from the previous year’s budget. Government related income, including government grants and domestic tuition accounts for approximately 2/3 of revenues. Approximately 74% of expenses are devoted to salaries and benefits with an additional 12% for infrastructure and 8% for student support.

New allocations of $9.8M in base and $21.9M in fiscal are recommended for RPCs, university budgets and contingencies. The Provost provided a detailed breakdown of budget priorities for these allocations.

A Senator asked the Provost to comment on the potential impact of inflation on the university budget, considering as well the continued tuition freeze and 1% salary cap. The Chair noted that inflation will have an impact on operating costs and other expenses, but it is unclear how long the spike will last. It is also unclear how long the tuition freeze will continue, but this may be clarified after the provincial election later this year. The legislated 1% salary cap will begin to lift this year, which will further impact the university budget. However, Carleton continues to budget conservatively to protect the financial health of our institution.

The Chair thanked the Provost for the thorough presentation.
9. **Reports for Information**
   a) Report from COU Academic Colleague
   b) Faculty Gender Report
   c) Senate Executive Committee Minutes (March 15, 2022)

   A Senator asked for clarification on the Walls to Bridges program referenced in the Report from the COU Academic Colleague. In response, it was noted that this initiative is run from the University of Ottawa, as an example of effective community outreach.

10. **Other Business**
    There was none.

11. **Adjournment** - The meeting was adjourned (S. Ajila, J. Sinclair-Palm) at 3:30 pm.