

**CONSENT AGENDA  
to the Open Agenda of the 638<sup>th</sup> Meeting of the Board of Governors**

**Tuesday, December 5<sup>th</sup>, 2023  
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 637<sup>th</sup> meeting of the Board of Governors, as presented.

**4.1.2 Signing Authorities Policy**

MOTION: On the recommendation of the Governance Committee, move to approve the Signing Authorities Policy, as presented.

**4.2 ITEM(S) FOR INFORMATION**

**4.2.1 Committee Minutes**

- a) Building Program Committee
  - September 2023 Meeting Minutes
- b) Finance Committee
  - September 2023 Meeting Minutes

**4.2.2 Major Capital Plan**

**4.2.3 Strive for Sustainability Annual Report 2022-2023**

**4.2.4 ArcGIS and Building Information Modeling – 3D Visualizations**

**4.2.5 Ongoing Capital and Deferred Maintenance Project Status Report**

**4.2.6 Update on the 2023/24 Operating Budget**

**4.2.7 Update on the 2023/24 Ancillary Budget**

**4.2.8 Pension Plan Report**

**4.2.9 Responsible Investment Report**

**4.2.10 Student Governor Handbook and Election Process**

**4.2.11 Administrative Staff Governors Handbook and Election Process**

**4.2.12 Minutes of 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 637<sup>th</sup> Meeting of the Board of Governors**  
**Tuesday, October 10<sup>th</sup>, 2023 at 3:00 p.m.**  
**Richcraft Hall Room 2440R**

<b>PRESENT:</b>	G. Farrell (Chair)	L. Grussani (Virtual)	J. Nelson
	B. Creary (Vice-Chair)	A. Hamdani	B. O'Connor
	H. Babb	N. Karhu	J. Ojangole (Virtual)
	J. Camelon	A. Keung (Virtual)	P. Smith (Virtual)
	A. Chan	D. Maseko	J. Taber
	J. Devoe	S. Mingie	C. Tessier
	K. von Finckenstein	G. Morris (Virtual)	J. Tomberlin
	D. Fortin (Virtual)	J. Muthukumar	A. Tremblay
	K. Furlong	L. Newton Miller	P. Wolff
	D. Greenberg		
<b>REGRETS:</b>	Y. Baltacioğlu	M. Gillis	M. Main
	P. Dion		
<b>STAFF:</b>	N. Afouxenidou	A. Goth (R. Secretary)	K. McKinley (Virtual)
	N. Badiou	R. Goubran	G. Nower
	S. Blanchard	C. Khordoc	P. Rankin
	J. Conley (Virtual)	S. Levitt	B. Reid
	L. Dyke	A. Marcotte	E. Sloan
	T. Frost	C. McKenzie	K. Solomon

**OPEN SESSION**

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

The Chair called the meeting to order at 3:00 pm and welcomed governors and attendees to the first meeting of the 2023/24 Board year. The Chair acknowledged the Algonquin First Nation territory on which Carleton University is located. He reviewed the meeting protocols for members in person and attending virtually. The Chair recognized the situation taking place in Israel and Gaza and that Carleton condemns any form of violence. He also recognized Board member K. von Finckenstein on his appointment as Canada's interim Integrity Commissioner.

## **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 K. Furlong and seconded by A. Tremblay that the open agenda of the 637<sup>th</sup> meeting of the Board of Governors be approved, as presented. The motion carried unanimously.

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

The following items were circulated in the open consent agenda for approval: Open Session Minutes from the 636<sup>th</sup> Board Meeting, Board Award Criteria and Jury Selection, Founders Jury Selection, and the University Operating and Capital Reserves Policy.

The following items were circulated in the open consent agenda for information: University Committee minutes from the April meetings of the Advancement and University Relations Committee, Building Program Committee, and Finance Committee, Overview of Major Capital Projects, Ongoing Capital and Deferred Maintenance Project Status Report, Update on Transportation Plan and Parking Strategy, Real Estate Investment Managers for the Pension Plan, Membership on the Investment Committee, Investment Report on the Endowment, Update on the 2023/24 Operating Budget, Update on 2023 Credit Rating, Undergraduate Recruitment Marketing/Campaign Overview and Results, Advancement Update – Overview and Strategy 2023/24, Government Relations Overview and Update, Board Work Plan and Schedule of Meetings, and Minutes from Senate.

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

## **5. ITEMS FOR APPROVAL**

### **5.1 The Teraanga Commons Cafeteria Expansion – Project Implementation Report**

An executive summary and presentation were circulated in advance.

C. Tessier, Chair of the Building Program Committee, introduced the item commenting that members of the Building Program, Finance, and Executive Committees have all reviewed and recommend approval of the project implementation report. The cafeteria expansion has been driven by the additional student need with the construction of the new student residence already underway.

L. Dyke, Vice-President (Finance and Administration), reviewed the approval process for major capital projects. The process usually involves the Board approval of the Capital

Proposal Form, the Project Planning Report, and the Project Implementation Report. The policy allows for the possibility of fast-tracking proposal, depending on schedules and financing. Fast-tracking involves the combining of all three steps into one for Board approval.

S. Blanchard, Vice-President (Students and Enrolment), introduced C. Mackenzie, Director of Campus Services, and G. Nower, Associate Vice-President (Facilities Management and Planning), and provided a presentation.

The Residence Dining Hall located in Teraanga Commons currently seats 800 students and serves over 7,000 meals per day. The Dining Hall requires an expansion and upgrade to accommodate the expected increase in meal plan holders due to the new Student Residence opening in 2025. The last major renovation of the Dining Hall was in 2015. The Dining Hall needs to respond to the change in the delivery of food services and updated station concepts but also increase capacity to accommodate an additional 450 meal plan holders by 2025. The estimated total project cost is \$8.5 million.

The objectives of the project are as follows:

1. Increase seating capacity to address the projected increase of students within the next five years;
2. Upgrade delivery of food service stations to increase efficiency;
3. Provide an aesthetically pleasing environment for visitors to enjoy their meals while also offering more innovative and fresh meals from various cultures;
4. Provide smooth provision of food services within an efficient, functional kitchen and operational space during peak times; and
5. Ensure a food-up-front approach is taken.

As of August 2023, Watson MacEwen Teramura Architects (WMTA) prepared 95% drawings for the Dining Hall renovation which includes demolition and new work plans for dining halls A, B, C, as well as Quiet Zone, Mechanical and Electrical drawings including roof plans for exhaust fans, Kitchen Equipment/Furniture selections for purchasing, and wall and floor finishes along with lighting upgrade plan. The proposed plans and food options were shared with the Committee, including a new coffee bar, vegan options, food allergies, “clean eating” choices, and a space for a kitchen classroom.

Management is seeking a fast-track approval. It was noted that original plans were under the \$5 million threshold for Board approval. There are a number of RFPs outstanding including for kitchen equipment, general contractors, and furniture that will be awarded following Board of Governors approval. The plan is for construction to begin in November 2023 to be completed by Fall 2024. Stakeholders for the project include students, Housing and Residence Life, Facilities Management and Planning, Information Technology Services and Security.

The risks and mitigation tactics were outlined as follows:

1. Schedule: August 2024 completion in preparation for the 2024/25 academic year, mitigated through effective communication and pre-order of long lead items;
2. Inflation and Budget Constraint: volatile market for construction and materials, mitigated through value-engineering and scope review as required, engaging services of a cost consultant; and
3. Phasing and Occupied Building during construction, mitigated through multi-phased construction where the kitchen remains operational for the duration of the project and consideration of traffic flow and delivery during construction, and prequalifying General Contractors that have experience working in operational buildings.

The overall project budget is \$8.5 million, with construction costs estimated at \$6.12 million including \$805,000 in contingency, soft costs and furnishing fixtures and equipment at \$1.66 million, and a general contingency of \$450,000. The project will be funded by Dining Services with the revenues from additional meal plans (\$2.77 million), the accumulated surplus from Dining Services of \$1 million, and from an internally financed loan of \$7.5 million.

On the recommendation of the Building Program and Finance Committees, it was moved by C. Tessier and seconded by A. Hamdani to approve the Teraanga Commons Dining Hall and Kitchen Expansion Implementation Report at a total project cost not to exceed \$8.5 million, as presented. The motion carried unanimously.

## 5.2 Audited Financial Statements for year ended April 30, 2023 and Audit Finding Report

An executive summary, reports, and presentations were circulated in advance.

A. Keung, Chair of the Audit and Risk Committee, introduced the item advising that the consolidated financial statements were prepared by management and audited by the external auditors, KPMG. KPMG did not identify any differences requiring adjustments, nor any controlled deficiencies in financial reporting.

A. Marcotte, Associate Vice-President (Financial Services), provided a presentation, reporting that the auditor's opinion was received without reservation. No audit differences, either adjusted or unadjusted, were observed.

The financial statements combine all the activities from the operating fund, the ancillaries, research, and capital. Comparing 2022/23 with 2021/22, there was a deficit of revenue over expenses of \$13.8 million compared to a deficit of \$17.8 million in the previous year. The current year deficit is a result of the use of reserves accumulated in prior years for planned capital and operational expenditures, including \$11 million of deferred maintenance funded from reserves. Net Assets increased by \$27 million reflecting a \$14 million deficit offset by \$13 million endowment investment growth and

\$27 million positive adjustment for employee future benefits, sitting at \$1.175 billion total.

The reconciliation of the financial statement results to the operating results starts with a surplus of \$13 million, then backs out the additional expenditures funded from appropriation from prior-year surplus (\$34 million) and the calculated expenses in excess of cash outlay (\$13 million) during the year. Additions are made such as the internal contributions to the endowment and sinking funds (\$6 million), ancillary surpluses (\$13 million), and research surplus (\$4 million). Once these items are included, there is a deficit of almost \$14 million in the financial statements.

The five-year trends of the major financial categories were presented. Assets have been consistent across most categories with a decrease across cash and marketable securities. Liabilities decreased by \$20 million on the employee future benefit obligation. Net assets have been stable at \$1.17 billion with a slight increase in the endowment and unrestricted net assets. The Pension Reserve remains stable at \$69 million to mitigate against risks associated with market impact on plan assets and the General and Ancillary reserves will continue to be utilized to meet strategic goals and offset any lingering financial effects of the COVID-19 pandemic.

A member sought clarification of the reconciliation of the operating results and the \$14 million operating deficit. A. Marcotte responded that when all of the University's activities are combined, the reconciliation includes some prescribed calculations for accounting of assets. Some of the financial statements have a deficit of revenues over expenses but this does not mean that the University needs to borrow to make up this difference.

On the recommendation of the Audit and Risk Committee, it was moved by A. Keung and seconded by S. Mingie to approve of the University's 2022-2023 Consolidated Financial Statements and the Audit Findings Report, as presented. The motion carried unanimously.

## **6. ITEMS FOR INFORMATION**

### **6.1 Senate Annual Report**

An executive summary and report were circulated in advance.

J. Tomberlin, Interim President and Vice-Chancellor, introduced the item advising that Carleton operates under a bicameral system of governance which includes the Board of Governors for the University's corporate affairs and the Senate as the highest authority on academic matters.

E. Sloan, Clerk of Senate, provided a report advising that in 2022/23, Senate had eight scheduled meetings where it approved graduates, medalists, honorary degrees, new programs, new minors and concentrations, and cyclical reviews. Senate also received many community presentations including those on a digital strategy, the Campus Master Plan, and the University's Academic plan. There was a consultation on the transfer of graduate curriculum approvals from the Faculty of Graduate and Postdoctoral Affairs to the disciplinary Faculties which led to the creation of a Senate Ad Hoc Committee on Graduate Academic Governance. Senate also held one short notice meeting, in April, where it approved compassionate grading options for the winter 2023 term to ensure students were not unduly disadvantaged by labour disruptions.

In an ongoing process of good governance, Senate approved:

- an update to the Terms of Reference for one Senate Committee;
- a new empowering motion that will help ensure Senate committees are fully up and running each September; and
- revisions to the Academic Governance of the University document.

Senate approved more than 1,200 students to receive degrees in October 2022 and about 5,000 in a combination of February and June 2023. There were three convocation ceremonies in November 2022 and 15 in June 2023. This year's Fall convocation is on November 4<sup>th</sup>, and she invited members of the Board of Governors to join the academic procession.

## 6.2 Sexual Violence Annual Report

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

S. Blanchard introduced N. Badiou, Assistant Vice-President Equity and Inclusive Communities (EIC), and B. Reid, Senior Advisor, Gender and Sexual Violence Prevention and Support. In partnership between Student Affairs and EIC, a report on Sexual Violence is prepared annually. Carleton University continues to be committed to addressing sexual violence and with the return to campus, there has been an increased participation of in-person training sessions and engagement. When compared with the previous academic year, there has been an increase in the disclosures of sexual violence attributed to a return to in-person activities and a deeper trust in the outcomes of the policies, greater awareness in the programs, and a societal shift where survivors feel more supported.

The Carleton Sexual Assault Support Centre trained more than 1,300 members of the campus community in 2022/23. Multiple partnerships with on-campus units and community organizations in Ottawa remained in place to help prevent sexual violence, provide awareness initiatives, and training. A multi-faceted communications strategy was developed and resources are available in Carleton Mobile and Carleton360. In August

2022, copies of “Responding to Disclosures of Sexual Violence and Reporting an Experience of Sexual Violence” were sent to all faculty and staff. Copies of this document were also provided to the Board during the meeting.

Between May 2022 and April 2023, there were a total of 150 disclosures seeking support services, compared to 107 disclosures between May 2021 and April 2022. Of the 150 disclosures reported between May 2022 and April 2023, 12 cases went to a formal investigation process as requested by the respective complainants, 102 were based on incidents that occurred within a year of the disclosure, 48 were historical incidents, 74 disclosures involve a respondent who is a member of the Carleton community, and 72 incidents took place on campus. During this time, there were also seven sessions offered on consent education, where four were mandated by the Sexual Violence Review Committee (SVRC) and three were voluntary conversations.

The breakdown of disclosure statistics is based on the six broad categories of sexual violence required by the Government of Ontario and some disclosures fall into two or more categories: 73 cases of sexual assault: 64 cases of sexual harassment, one case of stalking, three cases of indecent exposure, four cases of voyeurism, and five cases of sexual exploitation. Definitions of the categories were provided. The numbers that were reported were similar to disclosures in 2018 and 2019, prior to the COVID-19 pandemic.

The Sexual Violence Policy will undergo a mandatory review beginning in Fall 2024. In 2023/24, Carleton will continue to innovate on new initiatives and continue supporting survivors.

The Chair asked for confirmation if the categories are defined by the Province. S. Blanchard responded that this is correct. He followed up asking how Carleton’s metrics compare to other institutions. N. Badiou responded that institutions measure incidents slightly differently and it is therefore difficult to compare across institutions.

A member asked about gendered sexual violence. B. Reid responded that statistically, 2SLGBT+ individuals tend to be the most at risk of sexual violence and advised that the Support Centre is for all genders on campus. The categories assigned by the Province are not split by gender but noted that women and other marginalized genders are disproportionately affected.

A member asked about how the University can measure progress as more complaints may actually be indicative that the programs on campus are working. S. Blanchard responded that there is a focus on understanding how comfortable students feel in coming forward and sharing their experiences. It is not only the number of disclosures but also awareness on campus and how supported people feel when they come forward.

A member inquired if there is other data to monitor progress, such as surveys to measure whether people feel comfortable coming forward. S. Blanchard responded that every three years, Carleton participates in a Campus Health Survey, which covers different



aspects of health and compares Carleton to other institutions. B. Reid added that there is also the Student Voices on Sexual Violence Survey which was part of the initial rollout of the Ministry of Colleges and Universities Sexual Violence Policy. That data was from 2018 but it provides a comprehensive look at numbers across the sector in Ontario.

### 6.3 Honouring Each Other Annual Report

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

P. Rankin, Provost and Vice-President (Academic), introduced the item advising that Carleton has been working to eliminate all forms of sexual violence on campus. To this end, Carleton implemented a three-year plan of sexual violence prevention and education.

B. Reid advised that the Honouring Each Other report is the blueprint for building consent cultures on campus. As part of the review of the Sexual Violence Policy (approved in April 2019), Honouring Each Other (approved April 2020) was created 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 co-created by the campus community. With the safe return to campus in 2022, EIC were able to incorporate both online and in-person offerings into their revised strategy.

The strategic goals of the plan were:

- Building training opportunities for campus members to become “Consent Champions”;
- Formalizing initial training opportunities with new campus members;
- Engaging men on campus in their roles in ending Campus Sexual Violence; and
- Continuing progress on the existing Three-Year Workplan (ongoing/in progress Strategic Goals).

B. Reid reviewed the progress made towards the goals over the past three years. An effort has been made to expand the audience of the programs, including contract instructors, teaching assistants, and students. A Measurement Working Group was established to develop plans and an evaluation methodology for new peer education and prevention programs and it will be launched as part of the 2023-26 Sexual Violence Prevention Strategy. EIC launched several support initiatives to expand the intersectional support systems for survivors. Public education initiatives included the Sexual Assault Awareness Week, as well as campaigns with numerous campus partners to foster a culture of consent for Carleton.

After the initial three years of Honouring Each Other: Building Consent Cultures on Campus Together, EIC has updated the document to reflect the new initiatives for the next three years. The following updates will be implemented in Fall 2023 in order to best meet the community’s needs: end the Enhanced Assess, Acknowledge, Act, Sexual

Assault Resistance program, reduce the SVPEC meeting frequency from monthly to quarterly, end the CUSASC Chat program/peer support program and create a peer-led consent education program, and end the Sexual Violence Prevention subcommittees/working groups as this structure no longer worked for the post-pandemic campus.

N. Badiou added that an important piece going forward is on education towards preventing sexual violence, training on consent, and training for bystanders.

A member asked about progress towards using men as spokespersons against sexual violence. B. Reid responded that in 2022, the measurement focus group considered the success of practices to engage men in ending gender-based violence. In 2022/23, the Champions for Change program was completed, which involves bringing pro-athletes to speak to varsity men on campus.

A member inquired about the measurement working group, noting the challenge of trying to measure “a negative” to track the success of initiatives. B. Reid responded that much of the success of the program is anecdotal, but it can also be seen in the high turnout at events. N. Badiou added that they are measuring the number of sessions run and the number of people trained and those metrics will continue to be reported upon.

A member asked about faculty members disclosure requirements. B. Reid responded that under the Sexual Violence policy, anyone who receives a disclosure on campus, lets the person know that they can access the Sexual Violence Support Centre. N. Badiou added that it is a survivor-centric approach and lets the individual choose what supports they get and when.

A member asked about outreach for training and resources is beyond students. B. Reid responded that the statistics of campus sexual violence, students are top of mind. She noted that faculty have an important role and pointed to the Consent Champions program as additional outreach. N. Badiou added that the EIC is looking at its package of trainings and there has been a request for more training from faculty groups and staff.

#### 6.4 Report from the Chair

The Chair advised that October 10<sup>th</sup> was World Mental Health Day which is a World Health Organization initiative with the objective to raise awareness of mental health issues around the world and to mobilize efforts in support of mental health. Carleton is a leader in support and promotion of mental health on campus through its comprehensive Healthy Workplace Strategy and through its award-winning Student Mental Health Framework. He added that the work of addressing and de-stigmatizing mental health issues is never done and continued efforts are needed.

He reminded the Board that Convocation will take place on November 4, 2023 with three ceremonies and invited members to attend.

The Advisory Committee on the President and Vice-Chancellor was established and a link was circulated to the job ad and the position profile is under development.

Lastly, the Board year was successfully launched with a board orientation, six committee meetings, and the board strategy session earlier in the day. He thanked all the members for their volunteer service to the University.

#### 6.5 President's Goals and Objectives for 2023/2024

A memo was circulated in advance.

The Chair advised that the President's goals and objective for 2023/2024 were circulated for information and were approved by the Executive Committee in September. Tomberlin outlined for the Executive Committee as well as for the full Board at its orientation session eight ambitious goals as follows:

1. accelerate the implementation of the Strategic Integrated Plan;
2. smooth and successful leadership transitions – notably for the Provost and President roles;
3. a strong recruitment year;
4. increase in retention and progression rates;
5. increased research funding;
6. maintain fundraising targets and prepare for the next campaign;
7. advance the next phase of campus development; and
8. continue to build reputation.

#### 6.6 Report from the President

A written report was circulated in advance.

J. Tomberlin provided an update on his report, which covered May to August 2023.

During the Spring convocation, there were 15 ceremonies and seven honorary degrees awarded. In July, Carleton hosted the Indigenous Youth Leadership Program with 22 young people from the Nishnawbe Aski Nation in northwestern Ontario to participate in a weeklong series of Indigenous-focused learning sessions. In August, Carleton celebrated the renaming of the building formerly known as Robertson Hall, to Pigiarnvik, as part of the University's commitment to reconciliation and August 17, 2023 marked the first time that an Ottawa-based university marched in Capital Pride Parade.

Over the last few months, the Department of Equity and Inclusive Communities consulted with the Carleton community on the draft Self-Identification Survey to enhance the experience of the students, faculty, and staff which will be distributed to the

community in Fall 2023. Construction of the new residence was at five of nine floors and the 450-bed student residence is expected to be completed in April 2025.

He highlighted a number of new appointments over the summer, including himself as Interim President and Vice-Chancellor and P. Rankin as Provost and Vice-President (Academic). Other appointments included H. Nemiroff as Interim Dean of the Sprott School of Business, A. Bowker as Interim Dean of the Faculty of Arts and Social Sciences, D. Hornby as Vice-Provost and AVP (Academic), D. Deugo as Associate Vice-President (Quality and Assurance), and H. Khan as Associate Vice-President Programs and Strategic Initiatives.

J. Tomberlin shared several highlights from academic and research including:

- C. Coe, L. Mostaço-Guidolin, and J. Drake were appointed as Canada Research Chairs;
- K. Horn-Miller was honoured with the 2023 3M National Teaching Fellowship the highest recognition in Canada for excellence in educational leadership and teaching;
- H. Johnston and E. Wicklund were awarded the 2023 Vanier Canada Graduate Scholarship;
- Carleton secured a \$1.65 million investment from the Natural Sciences and Engineering Research Council of Canada (NSERC) for permafrost, climate change, and sustainability;
- D. Moore, in collaboration with researchers across three countries, received a \$2.5 million Partnership Grant from the Social Sciences and Humanities Research Council (SSHRC);
- NSERC granted \$12.5 million to Carleton researchers, including a historic five Research Tools and Instruments Grants, showcasing our commitment to diverse projects supporting discovery and innovation; and
- Carleton researchers received a combined \$1.74 million from the federal government's New Frontiers in Research Fund (NFRF)

Carleton's donors and partners are fueling new initiatives, including the Wellness Desk in late September at MacOdrum Library and a \$900,000 gift from an international graduate, showcasing the importance of our Advancement Team's efforts to strengthen relationships with alumni overseas. During the period of May to August 2023, the Advancement Team brought in a revenue of over \$12 million.

Other highlights included Carleton's 11<sup>th</sup> Annual Throwback, co-hosted by Advancement and Athletics.

Carleton's Undergraduate Recruitment Office has successfully prepared and welcomed its new Ravens. The Spring Open House saw 13,867 guests to virtual info-sessions and an 'Ask Us Anything' campaign, as well as in-person and virtual tours, along with social media campaigns and these efforts collectively attracted 721 students. The International

Admissions and Recruitment team successfully reached international students through a multitude of events, workshops, and the eighth inbound Summer Counsellor Tour.

## 6.7 Committee Chair Updates

### 6.7.1 Advancement and University Relations

D. Greenberg, Chair of the Advancement and University Relations Committee advised that the Committee met on September 13<sup>th</sup> and reviewed the criteria and jury for both the Board of Governors Award for Outstanding Community Achievement and the Founders Award. The approval of both criteria and the jury composition were included in the open consent agenda materials.

The Committee also received presentations on three of the main mandates of the Committee including reputational enhancement, philanthropy, and government relations.

T. Frost, Chief Communications Officer, provided an overview and update on the Reputational Enhancement Project. The 2023/24 objectives were outlined including campaign strategies through social, video, billboards, web, mobile and search engines. He also spoke to the alignment of the project with events hosted by recruitment and the faculties.

J. Conley, Chief Advancement Officer, spoke to Advancement's strategic approach to creating partnerships with purpose. Goals for 2023/24 include sustained revenue, continuing to build purpose-based community engagement and resilience in terms of donor retention, and diversity and innovation.

A. Mullin, Director, Government Relations, spoke to engagement with the three levels of government. Priorities for the fall included federal government engagement around research, the provincial government Blue Ribbon Panel, partnerships with the City of Ottawa around transit and housing, preparation for the federal election, and bringing ministers and deputy ministers to campus.

### 6.7.2 Building Program

C. Tessier, Chair of the Building Program Committee, advised that in addition to the Teraanga Commons Dining Hall and Kitchen Expansion – project implementation report discussed earlier in the meeting, the Committee received a presentation from G. Nower on the recently completed major capital projects which included ARISE, Health Science, Nicol, and the Engineering Design Centre. The only major project currently under construction is the New Student Residence. Projects that are under design include the Loeb Building Renovation, the Paterson Hall Renovation, and the

decommissioning of the P9 parking garage. Future projects under consideration include the Wellness Hub and the Sustainability Research Centre both of which will require significant funding from government partners.

The Committee also received an update on ongoing capital projects and renewal. There are projects totaling approximately \$225 million currently underway on campus.

The Committee received an update on the transportation plan and the parking strategy. There have been many recommendations implemented across campus to improve transportation on campus to increase active travel, accessibility, parking, the road network and support transit. The most recent improvement was the expansion of the P7 parking lot. Active projects include the LRT Construction, managed by the City of Ottawa, the pedestrian bridge to Vincent Massey Park and tunnel connections under the rail line to increase east-west connectivity on campus. The current parking challenges were outlined; however, long-term parking demand is unknown and therefore management is planning short-term or medium-term measures to increase parking availability including additional spaces, leasing additional land, flexible work arrangement passes, car-pooling options and increasing rates to fund infrastructure.

### 6.7.3 Finance

A. Hamdani, Chair of the Finance Committee, advised that the Committee met on September 12<sup>th</sup>. There were four items for approval including:

- the Teraanga Commons Dining Hall and Kitchen Expansion presented for approval earlier;
- the University Operating and Capital Reserves Policy which outlines the criteria for the establishment and utilization of reserves, and incorporates it in the annual budgeting process. The revisions to this policy consisted of title updates and the inclusion of specific reference to the ancillary units' need to establish reserves for both operating purposes and capital improvements. The policy was also reviewed by the Governance Committee and was included in the open consent agenda for approval;
- A. Urquhart, Executive Director of Pension Fund Management, presented for approval the appointment of two investment managers for half of the real estate allocation for the Retirement Plan of Manulife Canadian Property Portfolio for \$50 million and CanFirst Industrial Realty Fund for \$25 million. This recommendation came from the Pension Committee and was approved by the Finance Committee;
- H. Nemiroff was approved as Dean representative on the investment committee to replace D. Brown on the committee.

The Committee also received a number of items for information including:

- The investment report on the endowment. The market value of the Total Endowment is \$370 million and the four-year annualized return for the period was 6.6%;
- The financial report for the fiscal year ended April 30, 2023. The operating budget resulted in a surplus \$12.8 million as compared to an opening break-even budget. Lingering pandemic effects on enrolment and the government's delay in issuing international student visas had a negative impact on tuition revenue; however, the University was able to find efficiencies and reduce discretionary expenditures to offset this \$15.3 million revenue shortfall. The majority of the operating surplus was due to strong returns on the investment of available operating cash, which exceeded budget by \$12.6 million. The full return to campus in 2022/23 enabled ancillary operations to complete its financial recovery from the pandemic. External research funding continued to grow, with \$116.1 million received in 2022/23;
- An update on the current year budget which is on target; and
- A capital budget updated which showed all projects are on budget.

### 6.7.3 Governance

B. O'Connor, Chair of the Governance Committee, advised that the Committee met on September 13<sup>th</sup>. The one item for review was the University Operating and Capital Reserves policy, which was included in the open consent package for Board approval.

Items for information included the Board Self-Assessment results for 2022/23 and the results were overwhelmingly positive with the majority of members finding service on the Board to be a rewarding experience. The second item for information was a presentation from A. Goth, University Secretary, on Board of Governors onboarding and training where she took the Committee through the timeline for membership and the training and initiatives underway.

The Committee discussed the Board Member Skills Gap Analysis and Community-at-Large Recruitment, noting a potential gap of technology entrepreneurship as an area to consider. Lastly, the Committee briefly discussed both the Student Governor and Administrative Staff Governor Handbooks and election process with the items returning to the Committee for approval in November.

## **7. OPEN-OTHER BUSINESS**

No other 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 5:04 p.m.



<b>Policy Name:</b>	<b>Signing Authorities Policy</b>
<b>Originating/Responsible Department:</b>	<b>Vice-President (Finance and Administration)</b>
<b>Approval Authority:</b>	<b>Board of Governors</b>
<b>Date of Original Policy:</b>	<b>March 2004</b>
<b>Last Updated:</b>	<b>December 2023</b>
<b>Mandatory Revision Date:</b>	<b>December 2028</b>
<b>Contact:</b>	<b>Vice-President (Finance and Administration)</b> <b>Vice-President (Research and International)</b> <b>General Counsel</b> <b>University Secretary</b> <b>Executive Director, Office of Risk Management</b>

### **Preamble**

This policy supplements section 7.05 of the General Operating By-Law No. 1 which reads as follows:

At its first meeting following the first day of June, the Board shall appoint the chair of the Finance Committee established pursuant to section 8.02 of this By-law, and nine (9) other persons as Signing Officers.

Copies of the Board resolution passed from time to time appointing the Signing Officers is available from the University Secretary.

### **Purpose**

This Policy specifies the authority of various members of the University community to bind the University contractually. This Policy is intended to expand the authorities granted by virtue of the resolution referred to in the Preamble to this policy and ensure proper assessment and approval processes are followed before signing any binding documentation. The signing authorities created by this Policy may be exercised only in keeping with the procedures set forth in this Policy and the "Procedures for the Exercise of Signing Authority" found at Schedule A ("the Procedures"). Prior to signing and implementation, all contracts and documents must follow the applicable assessment process as outlined in Schedule A and this Policy.

### **Scope**

Signing authorities for all Contracts, Construction Contracts, Employment Contracts, Gift Agreements, Purchase Contracts, Research Proposals, Research Contracts (all as defined in paragraph 1 below) and confirmations of insurance coverage are addressed in this policy.

### **Policy**

1. In this Policy, the following terms shall have the following meanings:

"Average Annual Value" shall mean, with respect to Research Contracts, the total dollar value (including both cash and in-kind commitments) of the Research Contract during the initial term of that Research Contract, divided by the number of years in the initial term of that Research Contract.

“Construction Contracts” shall mean all proposals, contracts, subcontracts, letters of intent, memoranda of agreement, obligations, indemnities, covenants, stipulations, and all other documents evidencing what is or may be a binding, legal relationship between the University and one or more third parties, in connection with the design, construction, renovation and delivery of capital projects at the University.

“Contracts” shall mean any written deeds, transfers, assignments, contracts, subcontracts, letters of intent, memoranda of understanding, memoranda of agreement, obligations, certificates, leases, licenses, permits, indemnities, covenants, stipulations, and all other documents evidencing what is or may be a binding, legal relationship between the University and one or more third parties, but the term shall specifically exclude Construction Contracts, Employment Contracts, Gift Agreements, Purchase Contracts, Research Contracts, Research Proposals, and the confirmations of insurance coverage referred to in paragraph 3(c) below.

“Employment Contracts” shall mean offers of continuing employment, contracts of employment (whether of fixed or indefinite term), and offers of renewal of contracts of employment.

“Gift Agreements” shall mean agreements involving the voluntary transfer of either personal property, real property, or both to the University by a donor to the University, the terms of which are settled between such donor and the Department of University Advancement.

“Purchase Contracts” shall mean both purchase orders and contracts for the purchase of services or products by the University.

“Research Contracts” shall mean agreements, contracts, subcontracts, letters of intent, memoranda of understanding, memoranda of agreement, and all other documents entered into between the University and a granting agency or sponsor organization where any of the researcher’s affiliation to the University and the University’s identity, facilities, or students is to be invoked in the conduct of the research activity contemplated by the agreement.

“Research Proposals” shall mean proposals for research grants or other research support developed at or through the University by or with the support of any member of the University community, to be submitted to any granting or other agency outside of the University, including without limitation the Social Sciences and Humanities Research Council of Canada, the Natural Sciences and Engineering Research Council of Canada, and the Canadian Institutes of Health Research.

“Signing Officers” shall mean the signing officers appointed on an annual basis by the Board pursuant to the resolution referred to in the Preamble to this policy.

“Significant Risk” shall mean a situation or contract involving a potential serious or very serious impact on the University’s financial, operations, technology, reputation or the health and safety of the members of the University community as determined by the risk matrix tool in the Contract Checklist for Risk Management and Legal Implications.

“Total Value” shall mean the total dollar value (including both cash and in-kind commitments) of a Contract, Construction Contract, Employment Contract, Gift Agreement, Purchase Contract, Research Contract or Research Proposal, aggregated over its term and any contractually contemplated extension of its term, excluding taxes and other charges.

## 2. General Provisions for the Exercise of Signing Authorities

For the purposes of this Section, "Documents" means collectively Contracts, Construction Contracts, Employment Contracts, Gift Agreements, Purchase Contracts, Research Proposals, Research Contracts, and documents relating to confirmation of insurance coverage as referred to in paragraph 3(c) below.

The signing authorities granted pursuant to this policy are subject to the following general provisions:

- (a) No employee of the University is authorized to sign any Document unless authority to do so has been provided for in either this policy or by the resolution of the Board referred to in the Preamble to this policy. Prior to signing and implementation, all Documents must follow the applicable assessment process as outlined in Schedule A and this Policy.
- (b) The President, Vice-Presidents, Associate Vice-Presidents, and Deans have the power to restrict in writing the signing authority of any employee under their immediate or ultimate supervision, and such instrument restricting signing authority shall be deposited with the University Secretary at the earliest opportunity.
- (c) Persons with the power to exercise signing authority shall not delegate that authority unless the President or any Vice-President has approved such delegation of authority in writing. The instruments approving the delegation of authority and by which authority is in fact delegated shall be deposited with the University Secretariat at the earliest opportunity.
- (d) The Executive Director, Office of Risk Management and/or the General Counsel may, from time to time, conduct audits of compliance with this policy by individual academic or administrative units, and shall report the results of those audits to the Vice-President (Finance and Administration) for transmission to the Board of Governors.
- (e) Executed copies of Documents that either (i) have a Total Value that is greater than \$100,000 (ii) the Total Value is less than \$100,001 but the initial term is five years or greater or (iii) potentially expose the University to a Significant Risk, shall be deposited with the University Secretariat. Research Proposals are excluded from the requirement to be deposited with the University Secretariat.
- (f) Questions as to the interpretation of this policy shall be referred to the General Counsel Office.

## 3. Signing Authorities – General Contracts and Insurance

- (a) Contracts in which the Total Value does not exceed \$100,000, the initial term is five years or less, are non-exclusive to a Vendor, and do not potentially expose the University to a Significant Risk may be signed on behalf of the University by any employee who is a department head with responsibility for a budget, or the supervisor of any such employee following the review process in the Self Risk Assessment section (s.1(b)) of the Procedures in Schedule A.
- (b) Contracts in which (i) the Total Value is greater than \$100,000, (ii) the Total Value is less than \$100,001 but the initial term is greater than five years, or (iii) provide exclusivity to a Vendor shall be signed on behalf of the University by two Signing Officers following the review process in the Formal Risk Assessment section (s.1(a)) of the Procedures in Schedule A.

- (c) The necessary documents relating to confirmations of insurance coverage on any aspect of the University's affairs may be signed on behalf of the University by two of the following: Vice-President (Finance and Administration), the Associate Vice-President (Financial Services) and the Executive Director, Office of Risk Management.
- (d) Indemnity and Waiver agreements that do not potentially expose the University to a Significant Risk may be signed on behalf of the University by any employee who is a department head with responsibility for a budget, or the supervisor of any such employee.
- (e) Contracts which potentially expose the University to a Significant Risk must follow the review process outlined in the Formal Risk Assessment section (s.1(a)) of the Procedures found in Schedule A.

4. Signing Authorities - Purchase Contracts

Subject to the provisions of the Procurement Policy and applicable law:

- (a) Purchase Contracts in which the Total Value does not exceed \$500,000 may be signed on behalf of the University by one Signing Officer together with the Director, Procurement Services following the review process in the Self Risk Assessment section (s.1(b)) of the Procedures in Schedule A.
- (b) Purchase Contracts in which the Total Value exceeds \$500,000 shall be signed on behalf of the University by two Signing Officers following the review process in the Formal Risk Assessment section (s.1(a)) of the Procedures in Schedule A.
- (c) Purchase Contracts for software as service or cloud computing services must also comply with the University's information technology policies and require a security assessment and privacy impact assessment to be conducted prior to any contract being signed.
- (d) Purchase Contracts which potentially expose the University to a Significant Risk must follow the review process outlined in the Formal Risk Assessment section (s.1(a)) of the Procedures found in Schedule A.

5. Signing Authorities - Research Proposals

- (a) Research Proposals in which the Total Value does not exceed \$500,000 per annum may be signed on behalf of the University by any one of the Associate Vice-Presidents (Research), the Director of the Carleton Office of Research Initiatives and Services, the Director of Industry and Partnership Services, or the Vice-President (Research and International).
- (b) Research Proposals in which the Total Value exceeds \$500,000 per annum may be signed on behalf of the University by the Vice-President (Research and International) together with one of the Associate Vice-Presidents (Research) or one of the Directors of Carleton Office of Research Initiatives or Industry and Partnership Services.
- (c) Research Proposals which potentially expose the University to a Significant Risk must follow the review process outlined in the Formal Risk Assessment section (s.1(a)) of the Procedures found in Schedule A.

6. Signing Authorities - Research Contracts

- (a) Research Contracts in which both the Average Annual Value is \$300,000 or less and the Total Value is \$500,000 or less may be signed on behalf of the University by any one of the Associate Vice-Presidents (Research), the Director of Carleton's Office of Research

Services, the Director of Industry and Partnership Services, or the Vice-President (Research and International).

- (b) Research Contracts in which either the Average Annual Value exceeds \$300,000 or the Total Value exceeds \$500,000 may be signed on behalf of the University by the Vice-President (Research and International) together with one of the Associate Vice-Presidents (Research) or one of the Directors of Carleton Office of Research Initiatives or Industry and Partnership Services.
- (c) Research Contracts which potentially expose the University to a Significant Risk must follow the review process outlined in the Formal Risk Assessment section (s. 1(a)) of the Procedures found in Schedule A.

7. Signing Authorities – Gift Agreements

- (a) Gift Agreements in which the Total Value does not exceed \$500,000 may be signed on behalf of the University by the Chief Development Officer.
- (b) Gift Agreements in which the Total Value exceeds \$500,000 may be signed on behalf of the University by the Chief Development Officer and one Signing Officer.
- (c) Gift Agreements which potentially expose the University to a Significant Risk must follow the review process outlined in the Formal Risk Assessment section (s.1(a)) of the Procedures found in Schedule A.

8. Signing Authorities – Construction Contracts

Construction Contracts are subject to the provisions of Capital Planning Policy/ Process and the document called “Regulations for the Approval and Control of Capital Projects” appended to the terms of reference of the Building Program Committee of the Board of Governors (a copy of which can be viewed by at <https://carleton.ca/secretariat/boardofgovernors/wp-content/uploads/Building-Program-ToR-2022.03.10-FINAL.pdf>)

- (a) Construction Contracts in which the Total Value does not exceed \$100,000 may be signed on behalf of the University by the Assistant Vice-President (Facilities Management and Planning).
- (b) Construction Contracts in which the Total Value is in the range of \$100,001 to \$300,000 may be signed on behalf of the University by two of the following: the Assistant Vice-President (Facilities Management and Planning) and the Signing Officers.
- (c) Construction Contracts in which the Total Value exceeds \$300,000 may be signed by two of the Signing Officers.

9. Signing Authorities – Employment Contracts

- (a) Employment Contracts to be entered into by the University with persons intending to fill positions within the appointment powers of the Board of Governors pursuant to the Bylaws of the University shall be signed on behalf of the University by two Signing Officers.
- (b) Employment Contracts to be entered into by the University with persons intending to fill the position of Dean or University Librarian shall be signed on behalf of the University by the President, or in her or his absence, by the Provost and Vice-President (Academic).

- (c) Employment Contracts to be entered into by the University with persons intending to fill all academic positions at the University other than those referred to in paragraphs 9(a) and 9(b) above, including without limitation Associate Deans, Directors, Chairs and members of the teaching staff, may be signed on behalf of the University by the Provost and Vice-President (Academic).
- (d) Employment Contracts to be entered into by the University and not specifically mentioned in any of paragraphs 9(a), 9(b) and 9(c) above may be signed on behalf of the University by the Vice-President (Finance and Administration) or the Associate Vice-President (Human Resources).

**Contacts**

Vice-President (Finance and Administration)  
Vice-President (Research and International)  
General Counsel  
Executive Director, Office of Risk Management  
University Secretary

**Links to Related Policies**

[Capital Planning Policy/Process](#)  
[Commemorative Naming Policy](#)  
[Cloud Computing Policy](#)  
[Risk Management Policy](#)  
[Food Services Policy](#)  
[Payment to Individuals and Business Entities Policy](#)  
[Philanthropic Naming Policy](#)  
[Procurement Card Policy](#)  
[Procurement Policy](#)  
  
[Signature Stamps Policy](#)

## Schedule A

### **Procedures for the Exercise of Signing Authority**

#### **Preamble**

These procedures must be read in conjunction with the Signing Authorities Policy (the "Policy"). Except as may otherwise be provided in these procedures, capitalized terms appearing in these procedures shall have the same meaning as ascribed to those terms in the Policy.

#### **Purpose and Scope of Procedures**

These procedures outline the manner in which the signing authorities granted pursuant to the Policy are to be exercised. If signing authority is purportedly exercised otherwise than in accordance with these procedures or the Policy, then such exercise shall be considered beyond the scope of employment of the person exercising such purported authority.

#### **Procedures**

##### **Section 1: Requirement for Risk Assessment and Legal Assessment Prior to Signing Contracts**

For the purposes of this Section 1 of these Procedures, the terms Contracts, Purchase Contracts, Research Proposals, Research Contracts and documents relating to confirmations of insurance coverage on any aspect of the University's affairs are sometimes collectively called the "Documents" and individually a "Document."

Prior to signing, Documents must go through an assessment as follows:

**1 (a). Formal Risk Assessment:** Documents referred to in any of paragraphs 3(b), 3(e), 4(b), 4(d), 5(c), 6(c) and 7(c) of the Policy may be signed on behalf of the University only following:

- (i) Review and approval by either the Provost's Budget Working Group (PBWG) or the President and Vice-Presidents, such approval to be evidenced in writing (in advance of signing the Document) under the signature of either the President or the Vice-President (Finance and Administration);
- (ii) An assessment by the Executive Director, Office of Risk Management (or designate), of the risks to which the University may be exposed by virtue of signing the Document, a copy of the assessment must be provided to the appropriate signing officers in advance of signing the Document; and
- (iii) An assessment by the General Counsel Office of the legal implications of the Document for the University, a copy of the assessment must be provided to the appropriate signing officers in advance of signing the Document.

**1(b). Self-Risk Assessment:** Documents referred to in any of paragraphs 3(a), and 4(a) of the Policy may be signed on behalf of the University only following:

- (i) Satisfactory completion (by the person presenting the Document for signature) of the Contract Checklist for Risk Management and Legal Implications in the form attached to these procedures; and
- (ii) Consultation with both the Executive Director, Office of Risk Management and the General Counsel (or their designates) in the event that the person intending to act on any

of the signing authorities referred to in this paragraph 1(b) considers any matter disclosed on the Contract Checklist for Risk Management and Legal Implications to be of material concern or Significant Risk to the University.

For the purposes of either of paragraphs 1(a) or 1(b) of these Procedures, should either the Executive Director, Office of Risk Management or the General Counsel, or their designates, be unavailable to complete the assessments required by those paragraphs within the time reasonably required to finalize the Document for signature by the University, then the matter shall be referred to one of the Vice-Presidents for advice and direction, in which case in exceptional and emergency circumstances the strict requirements of paragraphs 1(a) or 1(b) (as the case may be) may be waived or modified by such Vice-President.

Documents referred to in Section 8 of the Policy may be signed on behalf of the University only in circumstances consistent with the provisions of Capital Planning Policy/ Process and the document called "Regulations for the Approval and Control of Capital Projects" appended to the terms of reference of the Building Program Committee of the Board of Governors (a copy of which can be viewed by at <https://carleton.ca/secretariat/boardofgovernors/wp-content/uploads/Building-Program-ToR-2022.03.10-FINAL.pdf>

## **2. General Provisions**

For the purposes of this Section 2 of these Procedures, the terms Contracts, Construction Contracts, Employment Contracts, Gift Agreements, Purchase Contracts, Research Proposals, Research Contracts and documents relating to confirmations of insurance coverage on any aspect of the University's affairs are sometimes collectively called the "Documents" and individually a "Document."

The signing authorities granted pursuant to the Policy are further subject to the following general procedural provisions:

- (a) With the exceptions of Research Proposals and Research Contracts, Documents creating external financial reporting requirements for the University must be sent for approval to the Assistant Vice-President (Financial Services) in advance of their signature, and evidence of the approval of the Assistant Vice-President (Financial Services) must be provided in advance to those intended to sign the Document.
- (b) In the event that the President is of the view that any Document, irrespective of its Average Annual Value, its Total Value or the length of its term, is of extraordinary significance to the University (on the basis of either an unusually high risk factor, the potential for exceptional public scrutiny, or impact on the academic reputation of the University), then the President shall bring such Document or cause such Document to be brought to the Board of Governors prior to its signature, and shall seek the Board's direction in that respect.
- (c) Questions as to the interpretation of these Procedures shall be referred to the General Counsel Office.

### **Contacts**

Vice-President (Finance and Administration)  
General Counsel  
Executive Director, Office of Risk Management  
University Secretary





**Policy Name:** **Signing Authorities Policy**

**Originating/Responsible Department:** Vice-President (Finance and Administration)

**Approval Authority:** Board of Governors

**Date of Original Policy:** \_\_\_\_\_ March 2004

**Last Updated:** ~~November 2018~~ ~~XXXX~~ December 2023

**Mandatory Revision Date:** ~~November XXXX~~ ~~2023~~ December 2028

**Contact:** Vice-President (Finance and Administration)  
Vice-President (Research and International)  
General Counsel  
University Secretary  
Executive Director, Office of Risk and Insurance Management

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**Preamble**

This policy supplements section 7.05 of the General Operating By-Law No. 1 which reads as follows:

At its first meeting following the first day of June, the Board shall appoint the chair of the Finance Committee established pursuant to section 8.02 of this By-law, and nine (9) other persons as Signing Officers.

Copies of the resolution of the Board resolution passed from time to time appointing the Signing Officers is available from the University Secretary.

**Purpose**

This Policy specifies the authority of various members of the University community to bind the University contractually. This Policy is intended to expand the authorities granted by virtue of the resolution referred to in the Preamble to this policy and ensure proper assessment and approval processes are followed before signing any binding documentation. The signing authorities created by this Policy may be exercised only in keeping with the procedures set forth in this Policy and the "Procedures for the Exercise of Signing Authority" found at Schedule A ("the Procedures"). Prior to signing and implementation, all contracts and documents must follow the applicable assessment process as outlined in Schedule A and this Policy.

**Scope**

Signing authorities for all Contracts, Construction Contracts, Employment Contracts, Gift Agreements, Purchase Contracts, Research Proposals, Research Contracts (all as defined in paragraph 1 below) and confirmations of insurance coverage are addressed in this policy.

## Policy

1. In this Policy, the following terms shall have the following meanings:

“Average Annual Value” shall mean, with respect to Research Contracts, the total dollar value (including both cash and in-kind commitments) of the Research Contract during the initial term of that Research Contract, divided by the number of years in the initial term of that Research Contract.

“Construction Contracts” shall mean all proposals, contracts, subcontracts, letters of intent, memoranda of agreement, obligations, indemnities, covenants, stipulations, and all other documents evidencing what is or may be a binding, legal relationship between the University and one or more third parties, in connection with the design, construction, renovation and delivery of capital projects at the University.

“Contracts” shall mean any written deeds, transfers, assignments, contracts, subcontracts, letters of intent, memoranda of understanding, memoranda of agreement, obligations, certificates, leases, licenses, permits, indemnities, covenants, stipulations, and all other documents evidencing what is or may be a binding, legal relationship between the University and one or more third parties, but the term shall specifically exclude Construction Contracts, Employment Contracts, Gift Agreements, Purchase Contracts, Research Contracts, Research Proposals, and the confirmations of insurance coverage referred to in paragraph 3(c) below.

“Employment Contracts” shall mean offers of continuing employment, contracts of employment (whether of fixed or indefinite term), and offers of renewal of contracts of employment.

“Gift Agreements” shall mean agreements involving the voluntary transfer of either personal property, real property, or both to the University by a donor to the University, the terms of which are settled between such donor and the Department of University Advancement.

“Purchase Contracts” shall mean both purchase orders and contracts for the purchase of services or products by the University.

“Research Contracts” shall mean agreements, contracts, subcontracts, letters of intent, memoranda of understanding, memoranda of agreement, and all other documents entered into between the University and a granting agency or sponsor organization where any of the researcher’s affiliation to the University and the University’s identity, facilities, or students is to be invoked in the conduct of the research activity contemplated by the agreement.

“Research Proposals” shall mean proposals for research grants or other research support developed at or through the University by or with the support of any member of the University community, to be submitted to any granting or other agency outside of the University, including without limitation the Social Sciences and Humanities Research Council of Canada, the Natural Sciences and Engineering Research Council of Canada, and the Canadian Institutes of Health Research.

“Signing Officers” shall mean the signing officers appointed on an annual basis by the Board pursuant to the resolution referred to in the Preamble to this policy.

“Significant Risk” shall mean a situation or contract involving a potential serious or very serious impact on the University’s financial, operations, technology, reputation or the

health and safety of the members of the University community as determined by the risk matrix tool in the Contract Checklist for Risk Management and Legal Implications.

"Total Value" shall mean the total dollar value (including both cash and in-kind commitments) of a Contract, Construction Contract, Employment Contract, Gift Agreement, Purchase Contract, Research Contract or Research Proposal, aggregated over its term and any contractually contemplated extension of its term, excluding taxes and other charges.

## 2. General Provisions for the Exercise of Signing Authorities

For the purposes of this Section, "Documents" means collectively Contracts, Construction Contracts, Employment Contracts, Gift Agreements, Purchase Contracts, Research Proposals, Research Contracts, and documents relating to confirmation of insurance coverage as referred to in paragraph 3(c) below.

The signing authorities granted pursuant to this policy are subject to the following general provisions:

- (a) No employee of the University is authorized to sign any Document unless authority to do so has been provided for in either this policy or by the resolution of the Board referred to in the Preamble to this policy. Prior to signing and implementation, all Documents must follow the applicable assessment process as outlined in Schedule A and this Policy.
- (b) The President, Vice-Presidents, Associate Vice-Presidents, ~~Assistant Vice-Presidents~~ and Deans have the power to restrict in writing the signing authority of any employee under their immediate or ultimate supervision, and such instrument restricting signing authority shall be deposited with the University Secretary at the earliest opportunity.
- (c) Persons with the power to exercise signing authority shall not delegate that authority unless the President or any Vice-President has approved such delegation of authority in writing. The instruments approving the delegation of authority and by which authority is in fact delegated shall be deposited with the University Secretariat at the earliest opportunity.
- (d) The Executive Director, Office of Risk and Insurance Management and/or the General Counsel may, from time to time, conduct audits of compliance with this policy by individual academic or administrative units, and shall report the results of those audits to the Vice-President (Finance and Administration) for transmission to the Board of Governors.
- (e) Executed copies of Documents that either (i) have a Total Value that is greater than \$100,000 (ii) the Total Value is less than \$100,001 but the initial term is five years or greater or (iii) potentially expose the University to a Significant Risk, shall be deposited with the University Secretariat. Research Proposals are excluded from the requirement to be deposited with the University Secretariat.
- (f) Questions as to the interpretation of this policy shall be referred to the General Counsel Office.

## 3. Signing Authorities – General Contracts and Insurance

- (a) Contracts in which the Total Value does not exceed \$100,000, the initial term is five years or less, are non-exclusive to a Vendor, and do not potentially expose the University to a Significant Risk may be signed on behalf of the University by any employee who is a department head with responsibility for a budget, or the supervisor of any such employee

following the review process in the Self Risk Assessment section (s.1(b)) of the Procedures in Schedule A.

- (b) Contracts in which (i) the Total Value is greater than \$100,000, (ii) the Total Value is less than \$100,001 but the initial term is greater than five years, or (iii) provide exclusivity to a Vendor shall be signed on behalf of the University by two Signing Officers following the review process in the Formal Risk Assessment section (s.1(a)) of the Procedures in Schedule A.
- (c) The necessary documents relating to confirmations of insurance coverage on any aspect of the University's affairs may be signed on behalf of the University by two of the following: Vice-President (Finance and Administration), the ~~Assistant-Associate~~ Vice-President (Financial Services) and the ~~Executive~~ Director, ~~Office of Risk and Insurance Management~~.
- (d) Indemnity and Waiver agreements that do not potentially expose the University to a Significant Risk may be signed on behalf of the University by any employee who is a department head with responsibility for a budget, or the supervisor of any such employee.
- (e) Contracts which potentially expose the University to a Significant Risk must follow the review process outlined in the Formal Risk Assessment section (s.1(a)) of the Procedures found in Schedule A.

#### 4. Signing Authorities - Purchase Contracts

Subject to the provisions of the ~~Procurement~~~~urchasing~~ Policy ~~and applicable law~~:

- (a) Purchase Contracts in which the Total Value does not exceed \$500,000 may be signed on behalf of the University by one Signing Officer together with the Director, ~~Procurement Purchasing Services~~ following the review process in the Self Risk Assessment section (s.1(b)) of the Procedures in Schedule A.
- (b) Purchase Contracts in which the Total Value exceeds \$500,000 shall be signed on behalf of the University by two Signing Officers following the review process in the Formal Risk Assessment section (s.1(a)) of the Procedures in Schedule A.
- (c) Purchase Contracts for software as service or cloud computing services must also comply with the University's ~~Cloud-Computing-Security~~~~information technology~~ policies and require a security assessment and privacy impact assessment to be conducted prior to any contract being signed.
- (d) Purchase Contracts which potentially expose the University to a Significant Risk must follow the review process outlined in the Formal Risk Assessment section (s.1(a)) of the Procedures found in Schedule A.

#### 5. Signing Authorities - Research Proposals

- (a) Research Proposals in which the Total Value does not exceed \$500,000 per annum may be signed on behalf of the University by any one of the Associate Vice-Presidents (Research), the Director of the Carleton Office of Research Initiatives and Services, ~~the Director of Industry and Partnership Services~~, or the Vice-President (Research and International).
- (b) Research Proposals in which the Total Value exceeds \$500,000 per annum may be signed on behalf of the University by the Vice-President (Research and International) together with

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one of the Associate Vice-Presidents (Research) or one of the Directors of Carleton Office of Research Initiatives or Industry and Partnership Services.

- (c) Research Proposals which potentially expose the University to a Significant Risk must follow the review process outlined in the Formal Risk Assessment section (s.1(a)) of the Procedures found in Schedule A

#### 6. Signing Authorities - Research Contracts

- (a) Research Contracts in which both the Average Annual Value is \$340,000 or less and the Total Value is \$5300,000 or less may be signed on behalf of the University by any one of the Associate Vice-Presidents (Research), the Director of Carleton's Office of Research Services, the Director of Industry and Partnership Services, or the Vice-President (Research and International).
- (b) Research Contracts in which either the Average Annual Value exceeds \$340,000 or the Total Value exceeds \$5300,000 may be signed on behalf of the University by the Vice-President (Research and International) together with one of the Associate Vice-Presidents (Research) or one of the Directors of Carleton Office of Research Initiatives or Industry and Partnership Services~~the Director of Carleton Office of Research Initiatives and Services~~.
- (c) Research Contracts which potentially expose the University to a Significant Risk must follow the review process outlined in the Formal Risk Assessment section (s. 1(a)) of the Procedures found in Schedule A.

#### 7. Signing Authorities – Gift Agreements

- (a) Gift Agreements in which the Total Value does not exceed \$500,000 may be signed on behalf of the University by the Chief Development Officer.
- (b) Gift Agreements in which the Total Value exceeds \$500,000 may be signed on behalf of the University by the Chief Development Officer and one Signing Officer.
- (c) Gift Agreements which potentially expose the University to a Significant Risk must follow the review process outlined in the Formal Risk Assessment section (s.1(a)) of the Procedures found in Schedule A.

#### 8. Signing Authorities – Construction Contracts

Construction Contracts are subject to the provisions of Capital Planning Policy/ Process and the document called "Regulations for the Approval and Control of Capital Projects" appended to the mandate terms of reference of the Building Program Committee of the Board of Governors (a copy of which can be viewed by at <https://carleton.ca/secretariat/boardofgovernors/wp-content/uploads/Building-Program-ToR-2022.03.10-FINAL.pdf>;

- (a) Construction Contracts in which the Total Value does not exceed \$100,000 may be signed on behalf of the University by the Assistant Vice-President (Facilities Management and Planning).
- (b) Construction Contracts in which the Total Value is in the range of \$100,001 to \$300,000 may be signed on behalf of the University by two of the following: the Assistant Vice-President (Facilities Management and Planning) and the Signing Officers.

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(c) Construction Contracts in which the Total Value exceeds \$300,000 may be signed by two of the Signing Officers.

9. Signing Authorities – Employment Contracts

(a) Employment Contracts to be entered into by the University with persons intending to fill positions within the appointment powers of the Board of Governors pursuant to the Bylaws of the University shall be signed on behalf of the University by two Signing Officers.

(b) Employment Contracts to be entered into by the University with persons intending to fill the position of Dean or University Librarian shall be signed on behalf of the University by the President, or in her or his absence, by the Provost and Vice-President (Academic).

(c) Employment Contracts to be entered into by the University with persons intending to fill all academic positions at the University other than those referred to in paragraphs 9(a) and 9(b) above, including without limitation Associate Deans, Directors, Chairs and members of the teaching staff, may be signed on behalf of the University by the Provost and Vice-President (Academic).

(d) Employment Contracts to be entered into by the University and not specifically mentioned in any of paragraphs 9(a), 9(b) and 9(c) above may be signed on behalf of the University by the Vice-President (Finance and Administration) [or the Associate Vice-President \(Human Resources\)](#).

**Contacts**

Vice-President (Finance and Administration)

Vice-President (Research and International)

General Counsel

[Executive Director, Office of Risk and Insurance Management](#)

University Secretary

**Links to Related Policies**

[Capital Planning Policy/Process](#)

[Commemorative Naming Policy](#)

[Cloud Computing Policy](#)

[Risk Management Policy](#)

[Food Services Policy](#)

[Payment to Individuals and Business Entities Policy](#)

[Philanthropic Naming Policy](#)

[Procurement Card Policy](#)

[Procurement Policy](#)

[Policy on Research and External Support Fund Creation and Amendments](#)

[Policy on Responsibility for Management of Research Agreements](#)

[Signature Stamps Policy](#)

## Schedule A

### Procedures for the Exercise of Signing Authority

#### Preamble

These procedures must be read in conjunction with the Signing Authorities Policy (the "Policy"). Except as may otherwise be provided in these procedures, capitalized terms appearing in these procedures shall have the same meaning as ascribed to those terms in the Policy.

#### Purpose and Scope of Procedures

These procedures outline the manner in which ~~certain of~~ the signing authorities granted pursuant to the Policy are to be exercised. If signing authority is purportedly exercised otherwise than in accordance with these procedures or the Policy, then such exercise shall be considered beyond the scope of employment of the person exercising such purported authority.

#### Procedures

##### Section 1: Requirement for Risk Assessment and Legal Assessment Prior to Signing Contracts

For the purposes of this Section 1 of these Procedures, the terms Contracts, Purchase Contracts, Research Proposals, Research Contracts and documents relating to confirmations of insurance coverage on any aspect of the University's affairs are sometimes collectively called the "Documents" and individually a "Document."

Prior to signing, Documents must go through an assessment as follows:

**1 (a). Formal Risk Assessment:** Documents referred to in any of paragraphs 3(b), 3(e), 4(b), 4(d), 5(c), 6(c) and 7(c) of the Policy may be signed on behalf of the University only following:

- (i) Review and approval by either the Provost's Budget Working Group (PBWG) or the President and Vice-Presidents, such approval to be evidenced in writing (in advance of signing the Document) under the signature of either the President or the Vice-President (Finance and Administration);
- (ii) An assessment by the Executive Director, Office of Risk and Insurance Management (or designate), of the risks to which the University may be exposed by virtue of signing the Document, a copy of the assessment must be provided to the appropriate signing officers in advance of signing the Document; and
- (iii) An assessment by the General Counsel Office of the legal implications of the Document for the University, a copy of the assessment must be provided to the appropriate signing officers in advance of signing the Document.

**1(b). Self-Risk Self-Risk Assessment:** Documents referred to in any of paragraphs 3(a), and 4(a) of the Policy may be signed on behalf of the University only following:

- (i) Satisfactory completion (by the person presenting the Document for signature) of the Contract Checklist for Risk Management and Legal Implications in the form attached to these procedures; and
- (ii) Consultation with both the Executive Director, Office of Risk and Insurance Management and the General Counsel (or their designates) in the event that the person intending to

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act on any of the signing authorities referred to in this paragraph 1(b) considers any matter disclosed on the Contract Checklist for Risk Management and Legal Implications to be of material concern or Significant Risk to the University.

For the purposes of either of paragraphs 1(a) or 1(b) of these Procedures, should either the Executive Director, Office of Risk and Insurance Management or the General Counsel, or their designates both, be unavailable to complete the assessments required by those paragraphs within the time reasonably required to finalize the Document for signature by the University, then the matter shall be referred to one of the Vice-Presidents for advice and direction, in which case in exceptional and emergency circumstances the strict requirements of paragraphs 1(a) or 1(b) (as the case may be) may be waived or modified by such Vice-President.

Documents referred to in Section 8 of the Policy may be signed on behalf of the University only in circumstances consistent with the provisions of Capital Planning Policy/ Process and the document called "Regulations for the Approval and Control of Capital Projects" appended to the terms of reference of the Building Program Committee of the Board of Governors (a copy of which can be viewed by at <https://carleton.ca/secretariat/boardofgovernors/wp-content/uploads/Building-Program-ToR-2022.03.10-FINAL.pdf> with the provisions of the document called "Regulations for the Approval and Control of Capital Projects" appended to the mandate of the Building Program Committee of the Board of Governors (a copy of Approval and Control Document – can be viewed by clicking here: <http://www2.carleton.ca/boardofgovernors/board-committees/building-program/>

## **2. General Provisions**

For the purposes of this Section 2 of these Procedures, the terms Contracts, Construction Contracts, Employment Contracts, Gift Agreements, Purchase Contracts, Research Proposals, Research Contracts and documents relating to confirmations of insurance coverage on any aspect of the University's affairs are sometimes collectively called the "Documents" and individually a "Document."

The signing authorities granted pursuant to the Policy are further subject to the following general procedural provisions:

- (a) With the exceptions of Research Proposals and Research Contracts, Documents creating external financial reporting requirements for the University must be sent for approval to the Assistant Vice-President (Financial Services) in advance of their signature, and evidence of the approval of the Assistant Vice-President (Financial Services) must be provided in advance to those intended to sign the Document.
- (b) In the event that the President is of the view that any Document, irrespective of its Average Annual Value, its Total Value or the length of its term, is of extraordinary significance to the University (on the basis of either an unusually high risk factor, the potential for exceptional public scrutiny, or impact on the academic reputation of the University), then the President shall bring such Document or cause such Document to be brought to the Board of Governors prior to its signature, and shall seek the Board's direction in that respect.
- (c) Questions as to the interpretation of these Procedures shall be referred to the General Counsel Office.

### **Contacts**

Vice-President (Finance and Administration)  
General Counsel  
Executive Director, Office of Risk and Insurance Management  
University Secretary





**Minutes of the 173<sup>rd</sup> Meeting of the Building Program Committee  
Tuesday, September 12<sup>th</sup>, 2023 at 10:00 a.m.  
Richcraft Hall Room 2440R**

**MINUTES**

<b>Present:</b>	C. Tessier (Chair) A. Tremblay (Vice-Chair) J. Tomberlin (Interim President) A. Chan B. Creary (Virtual) G. Farrell	D. Greenberg N. Karhu A. Keung M. Main J. Ojangole
<b>Staff:</b>	N. Afouxenidou B. Billings S. Blanchard L. Dyke A. Goth (Recording Secretary) R. Goubran C. Khordoc	S. Levitt A. Marcotte K. McKinley (Virtual) C. McKenzie G. Nower K. Solomon P. Rankin
<b>Regrets:</b>	H. Babb	

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**1. CALL TO ORDER AND CHAIR'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. She welcomed new and returning members and reviewed meeting protocols.

**2. DECLARATION OF CONFLICT OF INTEREST**

The Chair asked if there were any conflict of interests 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 D. Greenberg and seconded by A. Keung that the agenda of the 173<sup>rd</sup> 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 172<sup>nd</sup> meeting of the Building Program Committee were circulated in advance.

It was moved by A. Keung and seconded by D. Greenberg to approve that the minutes for the 172<sup>nd</sup> Building Program Committee meeting, as presented. The motion carried with one abstention.

#### **5. ITEMS FOR APPROVAL**

##### **5.1 Teraanga Commons Dining Hall and Kitchen Expansion – Project Implementation Report**

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

S. Blanchard, Vice-President (Students and Enrolment), provided a presentation, advising that the Residence Dining Hall currently seats 800 students and serves over 7,000 meals per day. The Dining Hall requires an expansion and upgrade to accommodate the increase in meal plan holders needed for the new Student Residence that will open in 2025. The last major renovation of the Dining Hall was in 2015, and the Dining Hall must not only respond to the change in the delivery of food services and updated station concepts but also increase capacity to accommodate an additional 450 meal plan holders by 2025. The estimated total project cost is \$8.5 million.

The objectives of the project are as follows:

1. Increase seating capacity to address the projected increase of students within the next five years;
2. Upgrade delivery of food service stations to increase efficiency;
3. Provide an aesthetically pleasing environment for visitors to enjoy their meals while also offering more innovative and fresh meals from various cultures;
4. Provide smooth provision of food services within an efficient, functional kitchen and operational space during peak times; and
5. Ensure a food-up-front approach is taken.

As of August 2023, Watson MacEwen Teramura Architects (WMTA) prepared 95% drawings for the Dining Hall renovation which includes demolition and new work plans for dining halls A, B, C as well as a Quiet Zone, Mechanical and Electrical drawings including roof plans for exhaust fans, Kitchen Equipment/Furniture selections for purchasing, and wall and floor finishes along with lighting upgrade plan. The proposed plans and food options were shared with the Committee, including a new coffee bar, vegan options, food allergies, “clean eating” choices, and a space for a kitchen classroom.

There are a number of RFPs outstanding including for kitchen equipment, general contractors, and furniture that will be awarded following Board of Governors approval of the project. The plan is for construction to begin in November 2023 with estimated completion by Fall 2024. Stakeholders for the project include students, Housing and Residence Life, Facilities Management and Planning, Information Technology Services and Security.

The risks and mitigation tactics were outlined as follows:

1. Schedule: August 2024 completion in preparation for the 2024/25 academic year, mitigated through effective communication and pre-order of long lead items;
2. Inflation and Budget Constraint: volatile market for construction and materials, mitigated through value-engineering and scope review as required, engaging services of a cost consultant; and
3. Phasing and Occupied Building during construction, mitigated through multi-phased construction where the kitchen remains operational for the duration of the project and consideration of traffic flow and delivery during construction, and prequalifying General Contractors that have experience working in operational buildings.

The overall project budget is \$8.5 million, with construction costs estimated at \$6.12 million including \$805,000 in contingency, soft costs and furnishing fixtures and equipment at \$1.66 million, and a general contingency of \$450,000. The project will be funded by Dining Services with the revenues from additional meal plans (\$2.77 million), the accumulated surplus from Dining Services of \$1 million, and from an internally financed loan of \$7.5 million.

A member noted that the project is seeking fast-tracked approval and asked for more details on the process. S. Blanchard responded that the process for approval of projects is usually in three steps, but the policy does allow for fast-track in certain circumstances. The Kitchen and Dining Hall expansion is a smaller project. A. Goth, University Secretary, advised that management is requesting the project to be fast-tracked as it needs to be completed before the students arrive and explained that the plans had moved forward to the implementation stage as it was initially under the \$5 million threshold for Board approval. As the project is now over that threshold, it is coming before the Board for approval.

A member inquired if there is a risk in having trades and general contractors starting in November and if they may not be available to start on the proposed schedule. Chad McKenzie, Assistant Director, Facilities and Operations, advised that the University has pre-qualified general contractors for the project who will be ready to start on November 1, 2023. An additional year has been included in the timeline to help mitigate some of the risks.

A member commented that they were happy to see a phased schedule so the Cafeteria can remain operational while undergoing construction. The member asked about the new floorplan for the expansion and if there will be any impact on Conference Services. C.

McKenzie advised that the plan is to expand into the adjacent space to the dining hall. The third floor will be impacted, but the second-floor spaces will remain the same.

A member inquired as to the current square-footage of the cafeteria and what it will be after the renovations. C. McKenzie advised that the space is increasing by one-third. Currently, there are approximately 700 seats in the space in an area of 5,000-8,000 square feet and after the renovation the capacity will increase to 900-1,000 seats.

It was moved by M. Main and seconded by J. Ojangole to recommend to the Board of Governors to approve the Teraanga Commons Dining Hall and Kitchen Expansion Implementation Report at a total project costs not to exceed \$8.5 million, as presented. The motion carried unanimously.

## **6. Items for Information and Discussion**

### **6.1 Overview of Major Capital Projects**

A presentation was circulated in advance.

G. Nower, Associate Vice President, Facilities Management and Planning, provided a presentation to highlight the major capital projects on campus. He reviewed the recently completed projects such as the ARISE, Health Sciences, Nicol, and Engineering Design Centre which were completed between 2019 and 2023 with total project costs of \$182 million.

Highlights of the work underway included:

1. New Student Residence – first-year student residence with 450 beds, living and social spaces, approved budget of \$106 million and estimated occupancy date of April 2025;
2. Teraanga Commons Dining Hall Expansion – estimated project cost of \$8.5 million and estimated completion by August 2024;
3. Loeb Building Renovations – building envelope and cladding updates with an estimated project cost of \$40 million and scheduled completion in 2027;
4. Paterson Hall Renovation – to improve base building infrastructure, with an estimated project cost of \$40 million and scheduled completion in 2028; and
5. Decommissioning and Demolition of the P9 Parking Garage – estimated project cost of \$5 million and estimated completion date of Fall 2024.

The two large planned projects include the Wellness Hub and Sustainability Research Centre (SRC). The Wellness Hub plan includes an expansion of fitness, wellness, and aquatics in two phases: Phase 1 includes the Fitness and Aquatics Facility and Phase 2 includes Academic Programming and negotiations on a partnership with the City of Ottawa are underway. The SRC is a proposed new building for the Faculty of Engineering and Design which includes both the SRC and McKenzie Courtyard Infill; however, the project is currently on hold.

### **6.2 Ongoing Capital and Deferred Maintenance Project Status Report**

An executive summary was circulated in advance.

G. Nower provided a verbal update on the ongoing capital and deferred maintenance projects on campus. He advised that projects totalling \$224,609,000 are currently underway. The new student residence is on schedule for occupancy in April 2025 with landscaping as an outstanding item to be re-bid in 2024. Schematic designs for the Loeb Building exterior envelope remediation and replacement is underway, noting that work is being done while the building is occupied. The Paterson Hall renewal design team RFP closed in August 2023. Design services for the decommissioning and demolition of P9 are underway and relocating of the services will begin before the frost to allow for work in the spring.

Other highlights included the Bronson Substation Replacement Feasibility and Design, with the design started August 2023 and will be phased in over two-years to increase the power capacity and sustainability of campus and the Campus Perimeter Security Upgrades to exterior doors and improving accessibility. Design for the upgrades started in March 2022 with completion expected in Spring 2024.

A member asked if the card access will be remotely driven. G. Nower confirmed that it will be completely automated.

A member asked, with respect to the number of construction projects underway on campus, how the students are managing. G. Nower responded that he has not heard any concerns with respect to the construction. He did acknowledge that there is noise from construction and the builders have been asked to not start too early in the day to adhere to noise bylaws. S. Blanchard advised that extra steps are taken during exam periods to keep the noise levels down.

### 6.3 Update on the Transportation Plan and Parking Strategy Update

An executive summary and presentation were circulated in advance.

L. Dyke, Vice-President (Finance and Administration), introduced the item advising that Carleton has been working towards completing the recommendations from the 2019 Transportation Master Plan.

G. Nower provided some background on the Transportation Plan, which focused on active travel, accessibility, parking, road network, and transit. He reviewed the completed projects from the Plan including the Stadium Way exit to Bronson Avenue, the Raven Road Extension with OC Transpo, road and sidewalk rehabilitation on Library Road, new bike storage, Parking Lot 7 expansion, O-Train Bridge Renewal, roundabout construction on University Drive, and the installation of 10 electrical vehicle (EV) charging stations and infrastructure in P7.

Active projects include additional work to P7 including boulevards and the addition of sidewalks by November 2023. The P9 parking garage will be decommissioned and demolished in 2024 and includes potential for the development of some surface parking or parkland on the former garage footprint. Phase 2 of the Light Rail Transit (LRT) Construction managed by the City of Ottawa is underway, connections to the pedestrian bridge of the Rideau River to Vincent Massey Park are being installed, and the City of

Ottawa tunnel connection under the rail line and expanding tunnel connections are underway.

The remaining items are multi-year implementation initiatives that require planning with other campus infrastructure projects and new capital. The initiatives include additional bike storage, one-way conversion and bus platform extensions on Campus Avenue, building multi-modal pathways, widening sidewalks, improving lighting and emergency stations, improving tunnel connections from the LRT and P9, improving accessibility and updating the Transportations Plan after September 2024.

B. Billings, Director of Campus Safety, provided a presentation on the Parking Strategy. He acknowledged that there are some challenges facing parking on campus including that the LRT is significantly behind schedule, the unmet demand for parking is significant, the decommission of the P9 parking garage will result in a loss of 651 parking spaces and the Wellness Hub/Athletics Expansion could result in a loss of another 500 spaces. Parking services is in a revenue deficit due to the impact of the COVID-19 pandemic, rates being below market, and high deferred maintenance.

There are unknowns with respect to future demands for parking. Parking Services is considering how the mix of course delivery modes are shifting, the evolving staff flexible work arrangements, and how LRT developments may change behaviour. As a consequence, the parking strategy is focused on managing short-term demands. Some of the short-term measures in progress include the expansion of P7 by an additional 501 spaces and negotiations are taking place regarding leasing the adjacent National Capital Commission lot for an additional 100 spaces. Other strategies include providing Flexible Work Arrangements staff parking options, promoting car-pooling or ride-sharing options to permit holders, and increasing parking rates to fund infrastructure investment.

Looking to medium-term options, Carleton will develop a comprehensive Alternative Transportation Strategy to reduce parking demands, including working with the City of Ottawa and OC Transpo to enhance public transit options and to promote transit use to campus as well as promoting active transportation. Parking Services will continue to move parking rates closer to market rates, create a surface lot on the P9 post-demolition side, and explore leasing for off-site parking such as at Brewer Park or Confederation Heights.

A member commented on the development of a comprehensive alternative transportation strategy and observed that it is currently not easy to get to campus using OC Transpo. The member asked if there is more that can be done with the City to facilitate getting students to campus on time. B. Billings responded that additional bus routes are something that is being considered, particularly when the LRT comes online. Parking Services also conducts annual focus groups and shares the feedback with OC Transpo to advocate on students' behalf.

A member asked about the urgent need on campus for parking and if the demand is higher than previous years. B. Billing responded that there are currently 300 students on the waitlist for parking permits but this is the same as previous years at this point in the semester. The waitlist is usually managed down by the end of September; however, there could be issues once P9 is decommissioned or with the Athletics expansion if there is not

a greater uptick in transit use. L. Dyke added that Carleton expanded P7 before the decommissioning of P9 because there is not currently effective transit. By the 2024 decommissioning of P9, the LTR should be running through campus, which will help reduce the demand for parking.

A member asked that given the reduced parking spots from P9 and the Wellness Hub, if another parking structure will be built. L. Dyke responded that currently there are no plans for another parking structure. There is still a lot of uncertainty with respect to long-term parking demands on campus. J. Tomberlin added that the timing is not right for a new parking structure, anticipating greater use of transit. The plans are to explore surface parking in the neighbourhood rather than building a new structure.

A member commented on the staff strategies for transportation demand management and asked for more information on how the initiatives are impacting demand. B. Billings advised that there is organic ride-sharing and the campus community is encouraged to use the City of Ottawa rideshare program which helps connect people beyond just the immediate campus. Parking Services offers ride-sharers in preferred locations on campus as a perk. The member followed up asking about the renewal of the Transportation and Open Spaces master plans in 2024. It was confirmed that these will both come before the Committee later in the year and that the plans would be combined.

The member cautioned about creating a surface lot over the P9 site as it will be challenging to claw the space back for another purpose. L. Dyke responded that in the Campus Master Plan there are plans to build on that space in the future and any surface lot would only be temporary.

A member commented on the vision of a transit-orientated city and that the reality of the LRT has been delayed and wondered what the relationship is like between Carleton and the City and OC Transpo and what the timeline is for completion. L. Dyke responded there is no set timeline, but that the full timeline for transit is 10 years. She is optimistic that there will be significant usage of the OTrain by students, once it is operational.

#### 6.4 Building Program Committee Work Plan

The work plan was circulated in advance for information.

### **7. OTHER BUSINESS**

No additional business was raised.

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

An in-camera session was held.

### **9. ADJOURNMENT**

There being no further business, it was moved by A. Chan and seconded by M. Main to adjourn the meeting at approximately 11:15 am. The motion carried unanimously.



**Minutes of the 316<sup>th</sup> Finance Committee  
Tuesday, September 12<sup>th</sup>, 2023 at 12:30 p.m.  
Richcraft Hall Room 2440R**

**Present:** A. Hamdani (Chair) S. Mingie  
P. Dion (Vice-Chair) J. Nelson  
J. Camelon P. Smith  
G. Farrell C. Tessier (Virtual)  
K. Furlong (Virtual) J. Tomberlin (Interim President)  
N. Karhu

**Staff:** N. Afouxenidou K. Mann  
S. Blanchard A. Marcotte  
L. Dyke C. McKenzie  
A. Goth (Recording Secretary) J. Mihalic (Virtual)  
R. Goubran G. Nower  
L. Goudie K. Solomon  
S. Levitt J. Tomberlin  
P. Leland A. Urquhart

**Regrets:** B. Creary

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**1. CALL TO ORDER AND 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. He welcomed all new and returning committee members and Carleton's executive and finance team to the meeting and reviewed the meeting protocols.

**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. None were declared.

**3. APPROVAL OF AGENDA**

The agenda was circulated in advance. It was moved by S. Mingie and seconded by P. Smith to approve the agenda for the 316<sup>th</sup> meeting of the Finance Committee, as presented. The motion carried unanimously.

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

##### 4.1 Minutes of Previous Meeting

The minutes of the 315<sup>th</sup> meeting of the Finance Committee were circulated in advance.

It was moved by S. Mingie and seconded by J. Camelon that the minutes of the 315<sup>th</sup> meeting of the Finance Committee be approved, as presented. The motion carried with two abstentions.

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

##### 5.1 Teraanga Commons Cafeteria Expansion – Project Implementation Report

An executive summary and presentation were circulated in advance.

S. Blanchard, Vice-President (Students and Enrolment), introduced C. Mackenzie, Director of Campus Services and G. Nower, Associate Vice-President (Facilities Management and Planning), and provided a presentation.

The Residence Dining Hall currently seats 800 students and serves over 7,000 meals per day. The Dining Hall requires an expansion and upgrade to accommodate the increase in meal plan holders created by the new Student Residence that will open in 2025. The last major renovation of the Dining Hall was completed in 2015, and the Dining Hall must not only respond to the change in the delivery of food services and updated station concepts but also increase capacity to accommodate an additional 450 meal plan holders by 2025. The estimated total project cost is \$8.5 million.

The objectives of the project are as follows:

1. Increase seating capacity to address the projected increase of students within the next five years;
2. Upgrade delivery of food service stations to increase efficiency;
3. Provide an aesthetically pleasing environment for visitors to enjoy their meals while also offering more innovative and fresh meals from various cultures;
4. Provide smooth provision of food services within an efficient, functional kitchen and operational space during peak times; and
5. Ensure a food-up-front approach is taken.

As of August 2023, Watson MacEwen Teramura Architects (WMTA) prepared 95% drawings for the Dining Hall renovation which includes demolition and new work plans for dining halls A, B, C as well as Quiet Zone, Mechanical and Electrical drawings including roof plans for exhaust fans, Kitchen Equipment/Furniture selections for purchasing, and wall and floor finishes along with lighting upgrade plan. The proposed plans and food options were shared with the Committee, including a new coffee bar,

vegan options, food allergies, “clean eating” choices, and a space for a kitchen classroom.

Management is seeking a fast-track approval for the project. There are a number of RFPs outstanding including for kitchen equipment, general contractors, and furniture that will be awarded following Board of Governors approval. The plan is for construction to begin in November 2023 with completion in Fall 2024. Stakeholders for the project include students, Housing and Residence Life, Facilities Management and Planning, Information Technology Services and Security.

The risks and mitigation tactics were outlined as follows:

1. Schedule: August 2024 completion in preparation for the 2024/25 academic year, mitigated through effective communication and pre-order of long lead items;
2. Inflation and Budget Constraint: volatile market for construction and materials, mitigated through value-engineering and scope review as required, engaging services of a cost consultant; and
3. Phasing and Occupied Building during construction, mitigated through multi-phased construction where the kitchen remains operational for the duration of the project and consideration of traffic flow and delivery during construction, and prequalifying General Contractors that have experience working in operational buildings.

The overall project budget is \$8.5 million, with construction costs estimated at \$6.12 million including \$805,000 in contingency, soft costs and furnishing fixtures and equipment at \$1.66 million, and a general contingency of \$450,000. The project will be funded by Dining Services with the revenues from additional meal plans (\$2.77 million), the accumulated surplus from Dining Services of \$1 million, and from an internally financed loan of \$7.5 million.

A member asked if given that the new student residence will not be operational for the first year, are the revenue expected to increase as more non-residence students use the Cafeteria. S. Blanchard responded projections have included months where the new residence is non-operational and the project will be close to a break-even budget.

The member inquired about the total of current internally financed loans. L. Dyke, Vice-President (Finance and Administration), responded that there are some other internally financed loans including for dining services, parking, and athletics of approximately \$29 million. In total, there is approximately \$52 million in internal loans, which is 12% of the existing reserves.

A member inquired about external versus internal vendors and how that effects revenue. C. McKenzie advised that there is no concern regarding losing market share. The objective of the renovation is to enhance the student experience for those living in residence. S. Blanchard added that the Cafeteria and meal plan are through Aramark and

that all of the external vendors also go through Aramark so it is the same food provider across campus.

A member asked for clarity around the fast-tracked process for the approval of the project. A. Goth, University Secretary, advised the steps are set out in the Capital Planning Policy. Usually when the Board considers a project over \$5 million, there are three approval points including a capital proposal form, a project planning report, and then a project implementation report. Fast-tracking is allowed under the policy and this project meets the criteria given there is a deadline for when the new student residence is completed and add that the budget for the project was under the \$5 million threshold until quite recently.

It was moved by P. Dion and seconded by S. Mingie to recommend to the Board of Governors, to approve the Teraanga Commons Dining Hall and Kitchen Implementation Report at a total project cost not to exceed \$8.5 million, as presented. The motion carried unanimously.

## 5.2 University Operating and Capital Reserves Policy

An executive summary and policy were circulated in advance.

L. Dyke advised that Carleton's Capital Reserves Policy was up for mandatory review. The policy stipulates the conditions under which reserves can be established and allows units to carry forward unspent balances for specific purposes. It allows units to plan for multi-year projects and encourages units to spend wisely. Oversight of the reserves and spending plans are built into Carleton's annual budget process which promotes transparency.

A. Marcotte, Associate Vice-President (Financial Services), advised that the policy was created in 2018 upon the request of the Board of Governors. Reserves are used as an effective planning tool and the policy outlined the current university's practices. The policy outlines the criteria for which reserves may be created and that includes future operational needs or liabilities, acquisition of capital assets, or strategic initiatives. The policy formally established oversight by the Finance Committee and the Board of Governors as it requires that the reserves are reported on as part of the annual budget process.

The policy has been reviewed and recommended by the Senior Management Committee (SMC) and will be reviewed by the Governance Committee prior to recommendation to the Board of Governors. There were some minor title changes since 2018, but the only modification that was made to the policy was to include a specific reference to ancillary operating reserves and the need to establish these reserves for their operating and capital purposes.

It was moved by S. Mingie and seconded by J. Camelon to recommend to the Board of Governors, to approve the revised University Operating and Capital Reserves Policy, as presented. The motion carried unanimously.

### 5.3 Real Estate Investment Managers for the Pension Plan

Executive summaries and a presentation were circulated in advance.

L. Dyke provided an introduction and advised that the pension plan has a targeted rate of return in excess of 6% and this return allows the University to meet its liabilities and provides increases for pensioners that, on average, meet or exceed inflation. An asset/liabilities study was conducted by Mercer in 2021 to determine if the University had the right mix of investments to achieve its goals. The study recommended diversification of some of the investments into real estate and private equity. The Pension Committee has reviewed the real estate market and a number of potential investment managers and reached a unanimous recommendation.

A. Urquhart, Executive Director, Pension Fund Management, provided a presentation, advising that the retirement fund had a value of approximately \$1.6 billion as at June 30, 2023 with an 8.2% net return over 10 years. The fund is fully funded with a diverse asset mix. In 2021, an asset-liability study was conducted with the support of Mercer and the study identified real estate and private equity allocations as opportunities to enhance the return while maintaining an acceptable level of risk.

The Pension Committee recommended a 10% allocation to real estate (approximately \$150 million). The allocation was approved by the Finance Committee in the 2023 Statement of Investment Policies and Procedures (SIP&P) revisions. Two investment managers are recommended to start with half of the real estate allocation, which was proposed as \$50 million to the Manulife Core Property Portfolio (return target of 6-8%) and \$25 million to the CanFirst Industrial Realty Fund VIII (return target of 13%).

A. Urquhart reviewed the search and manager selection process. The main search criteria included a core anchor of real estate with a high exposure to warehouses, grocery-anchored retail, and apartments and less exposure to offices and malls. Further analysis was undertaken on the firms' organization, investment team, ability to source deals and manage assets, track record, fees, alignment of interests, Environmental, Social and Governance (ESG), and institutional pension partners. Mercer completed investment and operational due diligence on both deals and external legal counsel performed due diligence as well.

The Chair asked for additional information on the process at the Pension Committee and oversight on the target returns. A. Urquhart advised that there were a number of meetings with the Pension Committee before meeting with the managers given the real estate market. The Pension Committee's main concern was avoiding managers with high exposures to office buildings. The Chair commented, as a representative on the Pension Committee, that it was a thorough process.

On the recommendation of the Pension Committee, it was moved by J. Nelson and seconded by S. Mingie, to approve two investment managers for half of the real estate allocation of the Carleton University Retirement Plan as follows:

- Manulife Canadian Property Portfolio (MCP) in the amount of \$50 million; and
- CanFirst Industrial Realty Fund (CIRF) VIII in the amount of \$25 million, as presented.

The motion carried unanimously.

#### 5.4 Membership on the Investment Committee

A memo and terms of reference were circulated in advance.

The Investment Committee is responsible for managing the investments of the Endowment and other investible pools of capital. According to the Terms of Reference, the membership of the Committee includes a Dean. The interim Dean of Spratt, Dr. Howard Nemiroff, has been recommended by the President for this role. Dr. Nemiroff serves as the advisor for the Spratt Student Investment Fund; should the Investment Committee need to vote on this Fund, Dr. Nemiroff will recuse himself from the discussion.

It was moved by J. Camelon and seconded by P. Smith to approve Howard Nemiroff as a member of the Investment Committee for a term of three years, commencing September 2023, as presented. The motion carried unanimously.

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

### 6.1 Investment Report for the Endowment

An executive summary and presentation were circulated in advance.

L. Dyke provided a brief introduction advising that over the past year, the investments in the Endowment have increased in value and out-performed the benchmark.

A. Urquhart provided an overview of the governance for the Endowment, which is overseen by the Investment Committee, and reports to the Finance Committee semi-annually.

As of June 30, 2023, the Endowment returned 13.4% gross, outperforming the benchmark by 0.8% in a one-year period. The returns were slightly below benchmark for the two-year period, attributed to the global equities manager. Over a 10-year period, the returns out-performed the benchmark by 0.7%. The total value of the Endowment has grown from \$200 million in 2014 to \$370 million in 2023. The Spratt Student Investment Fund has outperformed its benchmark over all time periods.

He provided an update on the Endowment, advising that the University seeded the Fossil Fuel Free Global Equity Fund with \$1 million and it is now available to donors. As part of the University's commitment to decarbonization, the Endowment and Operating Fund public equity holdings set an interim target to achieve a 50% reduction in the weighted average carbon intensity by 2030 using a December 2019 base year and monitoring of progress has commenced.

## 6.2 Financial Report for Fiscal Year ended April 30, 2023

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

L. Dyke provided an introduction to the item advising that the audited financial statements and the auditors findings will be presented at the Audit and Risk Committee. The financial report includes additional analysis that provides the Board with a fuller picture of the University's financial position. Despite a \$16.7 million shortfall in budgeted tuition, the operating budget had a surplus of \$12.8 million (2.4%) at the end of the year. This was due to a reduction in spending and a positive variance in investment income. Ancillary operations had a surplus of \$12.7 million but on a consolidated basis there was a deficit of \$13.8 million, reflecting the planned use of reserves and a reduction in general appropriations.

A. Marcotte provided a presentation, analyzing the report against the budget that had been approved by the Board. The Fiscal Year ending April 30, 2023 finished with a balanced operating budget of \$525 million, after the appropriation of \$12.8 million in surplus. There was a \$16.7 million shortfall in central tuition, impacted from the international student visa delay. Investment income was \$22.5 million, and there were \$39.5 million invested in infrastructure and capital asset additions. The ancillary operations saw a surplus of \$12.7 million compared to \$1.2 million in 2022, with a return to pre-pandemic levels of operations. Research funding grew to \$116.1 million, up 25% over 2021/22. The key operating results for 2022/23 were shared including revenues, expenditures, and appropriations. The main sources of revenue included \$300 million in tuition fees and \$180 million in government grants. The majority of expenditures go towards salaries at \$311 million, and campus infrastructure at \$79 million. Total student support is over \$100 million, annually.

Management achieved balanced budget. There were some variations from income sources, resulting in a shortfall of \$2.9 million in revenue. Tuition revenue was under budget by \$16.7 million, but investment income was \$12.5 million over budget. Expenditures saw a positive variance of \$15.7 million and the \$2.9 million reserve for economic uncertainty was not used. Overall, the net budget improvement totaled \$12.8 million, which has been set aside for future strategic uses. Income from government grants and tuition fees have been stable over the past five years and investment income is the only income source that has show variation over this period.

The ancillaries were able to generate a \$12.7 million surplus over 2022/23 and the units saw an accumulated closing surplus of \$35.8 million. Highlights for the ancillary units included a residence occupancy rate of 96%, conference rentals and events resumed, but Dining was challenged to open all retail locations, Recreation and Athletics saw all programs return to full activity, including university sports, summer camps and facility rentals. Research funding saw a one-year increase of 25% in 2022/23 to \$116.1 million.

The financial health metrics for the University were presented. Based on these metrics, including the primary reserve ratio, interest burden ratio, net income/loss ratio, and viability ratio, Carleton is performing well compared to its peers.

A member asked about the \$220 million debenture and what the return is on the investment currently. A. Marcotte responded that it is seeing returns and the current budget does include some of that interest.

L. Dyke advised that there is a correction to Schedule 1 of the report and that some deferred maintenance was included inadvertently under the spending of Finance and Administration. This error will be corrected before the report goes to the Board.

**ACTION:** A member requested a calculation of the impact on budget if international student enrolment was capped and a financial mitigation plan.

### 6.3 Update on 2023/24 Operating Budget (Q1)

A presentation was circulated in advance.

L. Dyke introduced the item advising that for 2023/24, over 90% of Carleton's operating revenue is tied to enrolment. Final enrolment numbers for Fall 2023 will not be available until November, but preliminary numbers indicate that revenues are within budget. She flagged that achieving balanced budgets in the future will require attracting new students as well as some increases in tuition and/or government grants.

A. Marcotte advised that, significant variances are not anticipated. Final numbers are not yet available for Fall enrolment but tuition revenue is expected to be on target. No changes are expected for the budget from the operating grant or investment income. There are some minor positive variances in contingencies and bad debts are continuing to be monitored.

A member asked about the University's debtors and what recourse is available. A. Marcotte advised that collections is an option after all in-house attempts have been exhausted. This is in relation to students that have left, as current students with outstanding balances are unable to register to complete their degrees.



#### 6.4 Update on 2023 Credit Rating

An executive summary and report were circulated in advance.

L. Dyke advised that a \$220 million bond was issued in 2021. Carleton is required to undergo an annual evaluation of its credit rating which involves a review of the financial statements, enrolment data, and a discussion with the leadership team. Carleton has been successful in maintaining a AA (low) rating.

A. Marcotte confirmed that the review has been conducted every year since the bond was issued, as required. The University has been working with the rating agency, DBRS Morningstar, to provide the necessary information and context. DBRS has confirmed Carleton's AA (low) rating with stable trends observing that Carleton is well positioned to withstand pressures from a challenging operating environment. Looking ahead, enrolment will be the key to maintaining the rating.

The Chair asked if DBRS have a ratings rationale that looks at specific metrics. A. Marcotte responded that this is the case and at the end of the report provided there is an appendix of ratios used.

A member noted that the report includes commentary around the trend in operating results focusing in on the key word "sustained" and asked how this will be managed. A. Marcotte responded that Carleton is trying to be strategic in managing its operating budget. L. Dyke added that the post-secondary sector in Ontario is struggling given the cut and then freeze to tuition and grants. A number of other Ontario universities ran deficits this year.

#### 6.5 Ongoing Capital and Deferred Maintenance Projects Status Report

An executive summary was circulated in advance.

G. Nower, Associate Vice-President (Facilities Management and Planning), provided an overview of the ongoing capital projects and deferred maintenance on campus including:

- Construction of the new student residence is underway with scheduled completion by April 2025;
- Schematic design for Loeb Building exterior envelope remediation and replacement is underway. The work will be done in phases as the building will be occupied;
- Paterson Hall renewal - design team Request for Proposal closed in August 2023;
- Design services for the decommissioning and demolition of P9 are underway, with plans for some steps to be taken in Fall 2023, before the frost hits with completion in Summer 2024; and

- Other key projects include the Bronson Avenue Substation replacement feasibility and design to support future activities on campus and Campus Perimeter Security upgrades.

**ACTION ITEM:** G. Nower to provide the anticipated expenditure of the \$137 million in the 2023/24 fiscal year.

**7. ITEM(S) FOR DISCUSSION**

7.1 Finance Committee Work Plan

The 2023/24 work plan was circulated in advance.

The work plan was discussed at the Board Orientation and no additional changes were brought forward.

**8. OTHER BUSINESS**

No additional business was brought forward.

**9. IN-CAMERA SESSION**

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

**10. ADJOURNMENT**

There being no further business, the meeting adjourned at approximately 2:00 p.m.

<b>To:</b>	Board of Governors	<b>Date of Report:</b> 19 October 2023
<b>From:</b>	Building Program Committee	<b>Date of Meeting:</b> 5 December 2023
<b>Subject:</b>	<b>Major Capital Plan</b>	
<b>Responsible Portfolio:</b>	Vice-President (Finance and Administration)	

## 1.0 PURPOSE

For Approval    For Information    For Discussion

## 2.0 MOTION

None.

## 3.0 EXECUTIVE SUMMARY

The Capital Plan outlines the capital planning process and the board's role in that process. It brings together the major capital projects that are underway, as well as the key projects under consideration.

Guided by the Strategic Integrated Plan (SIP), the Campus Master Plan, the Outdoor Space Master Plan, the Strive for Sustainability Plan, the Capital Plan helps to ensure the university has the right facilities and open spaces to support student success, the academic mission, and future initiatives.

Details about each capital project are shared along with the estimates and sources of funding which support each project. By having all the relevant information compiled within one document, the Board can leverage it to inform strategic advice and decision-making.

This plan will be updated annually and presented to the Board of Governors. Updates on the specific projects will be provided to the Building Program Committee four times a year.

## 4.0 INPUT FROM OTHER SOURCES

The Capital Plan was developed in collaboration with Facilities Management and Planning (FMP), Financial Services and the Office of Institutional Research and Planning (OIRP).

## 5.0 ANALYSIS AND STRATEGIC ALIGNMENT

The projects identified in the Capital Plan are influenced by a number of factors including financial, enrolment and emerging needs of our student population, as well as the academic mission and priorities. The capital planning process considers the pillars of several university strategic plans, including:

- Strategic Integrated Plan
- Academic Plan
- Campus Master Plan
- Energy Master Plan
- Outdoor Space Master Plan
- Strive for Sustainability
- Transportation Plan

## 6.0 FINANCIAL IMPLICATIONS

There are no direct financial implications with the Capital Plan document, however the oversight for capital projects, as identified in the Capital Plan and the Capital Planning Policy is central to the Board's Fiduciary oversight responsibilities. It ensures that Carleton is building responsibly and that any unplanned costs associated with projects over \$5 million are monitored at all stages of the project.

## 7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT

The Capital Plan and Capital Planning process are important to assisting the Board's fiduciary oversight responsibilities. The plan and process support proper project management and mitigate risks including construction cost increases, supply chain issues, resource and trade availability and operational impacts.

Cost increases and supply chain risks are being managed by planning projects well in advance and in collaboration with the integration team and 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.

New buildings, and major renovations often require Environmental Site Assessments, and Designated Substance Reports, which are completed in advance of construction to comply with applicable regulations.

Construction work in aging buildings increases the risk of unforeseen site conditions. This risk can be mitigated by completing intrusive investigative work in advance and/or soft demolition to expose current conditions. Risks related to project construction and completion are mitigated by owner- controlled insurance for projects.

## 8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

The university must strive to provide facilities and spaces that are competitive with other institutions. Failure to do so could have a negative impact on the university's reputation, recruitment and retention. Whether it be a new building, or renewal of an existing building or space, Carleton's capital investments affect the campus community at large. They shape the campus experience for students, researchers, librarians, faculty, staff and the external community.

Through measures identified in the [Capital Planning Policy](#), project committees, senior leadership, Building Program and Finance committees and the Board of Governors are engaged throughout all stages of the project, from initiation, through project close-out.

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 staff.

## 9.0 OVERALL RISK MANAGEMENT ANALYSIS

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

# Carleton University Capital Plan 2023

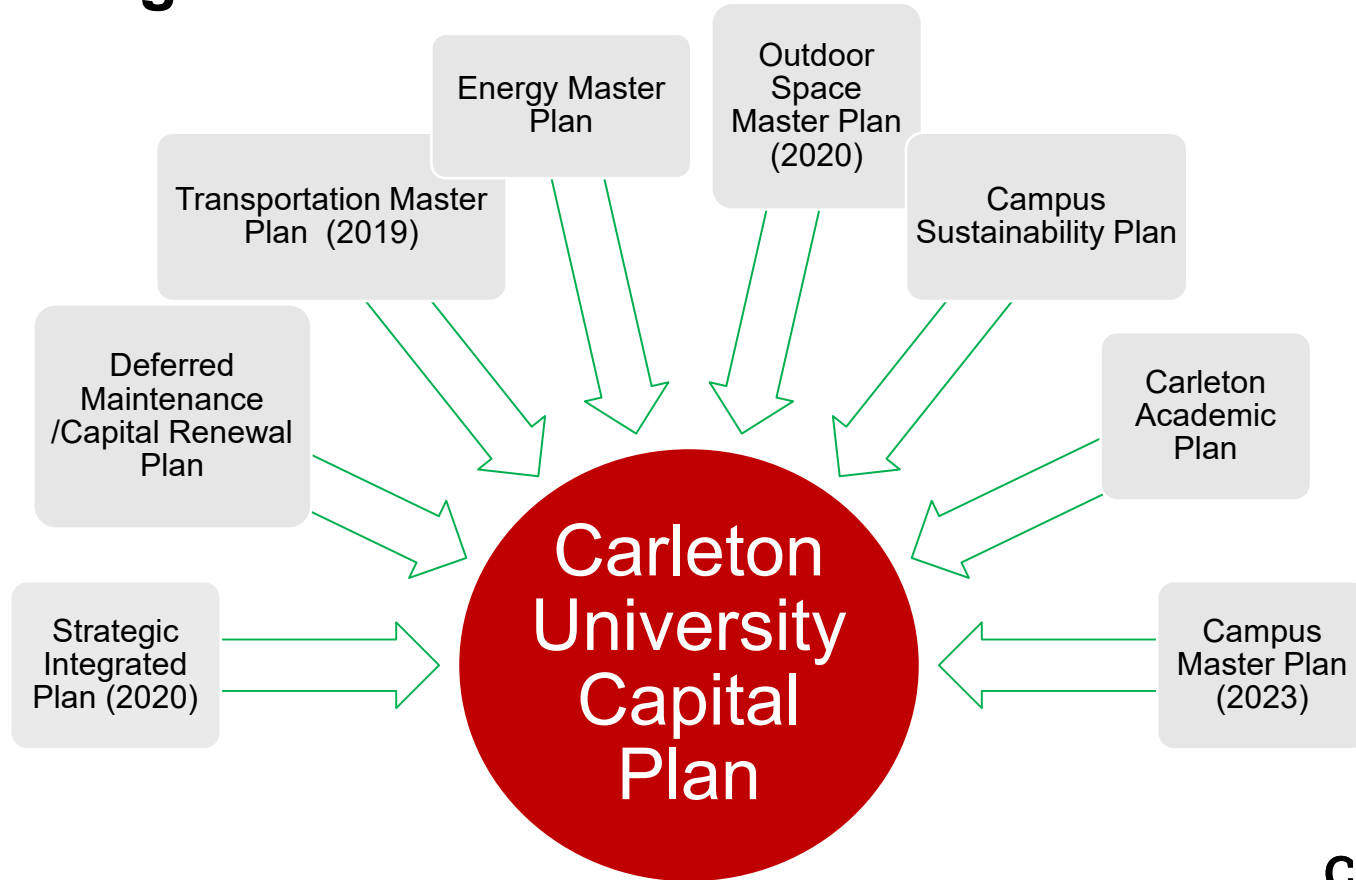
November 2023

# About the Plan

The Capital Plan provides an overview of major Capital Projects (projects over \$5 million).

It spells out the process of developing, the planning context, projects currently underway and projects under consideration.

# Supporting Plans



# Partnerships

Due to our location, on occasion Carleton's planning process requires and benefits from consultation and collaboration with a number of key external stakeholders including, but not limited to:

- City of Ottawa
- National Capital Commission (NCC)
- Rideau Valley Conservation Authority



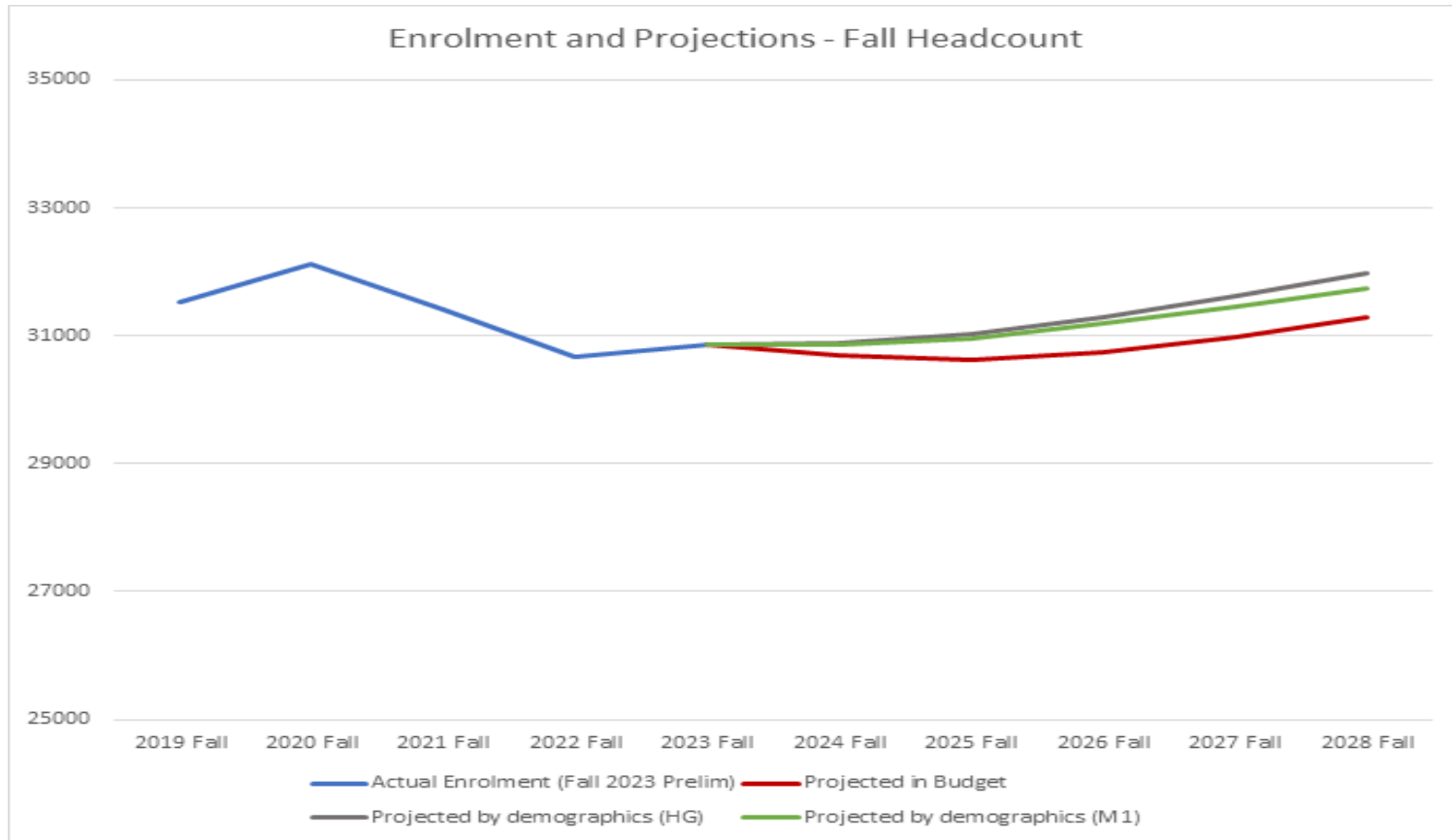
# Capital Planning Process: Board of Governors

The development of major capital projects (\$5 million or more) is overseen by the Board of Governors and evolves through multiple stages.

There are three principal approval steps at the Board:

1. **Capital proposal form:** focuses on the business case and concept design and preliminary (class D) cost estimates.
2. **Project Planning report:** This focuses on schematic designs and includes more refined cost estimates (class C).
3. **Project Implementation report:** Includes working drawings, more refined cost estimate (class B) and funding sources. Schedules and cash flow information also included at this stage.

# Enrolment Projections



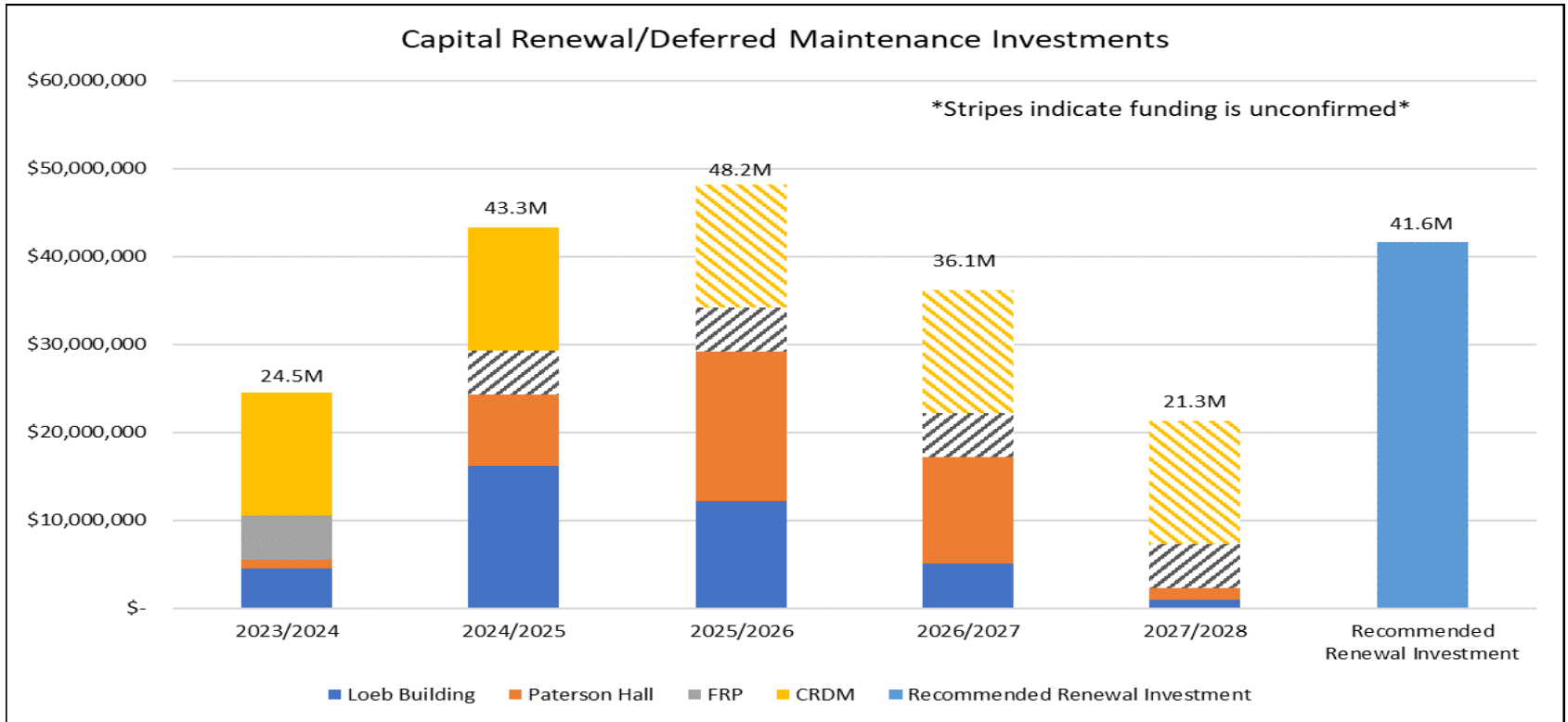
# Projects Underway

- New Student Residence (\$106 million)  
Project implementation approved, under construction.
- Loeb Envelope Remediation and Replacement (\$40 million)  
Capital Proposal form approved, developing schematic designs
- Paterson Hall Building Retrofit and Renewal (\$40 million)  
Capital proposal under development, developing concept designs
- Teraanga Commons Dining Hall and Kitchen Expansion (\$8.5 million)  
Project implementation approved, construction to begin late 2023
- Demolition of P9 Garage (\$5 million)  
Capital proposal form approved, developing project plan

# Projects Under Consideration

- Regional Aquatics and Wellness Hub – on hold
- Sustainable Research Centre – on hold

# Capital Renewal/Deferred Maintenance Investments



# Carleton University Capital Plan 2023



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# Executive Summary

The Capital Plan sets out the major capital projects over \$5 million which the university prioritizes. It ensures that the university's built environment can support the academic mission and programming.

It outlines the capital planning process, as well as the Board of Governors' role in that process. It brings together the major capital projects that are underway, as well as identifies projects under consideration.

Details about each capital project are provided, along with the estimated costs and sources of funding. Having this information compiled within one document provides a full picture of capital planning at Carleton; specific projects are reviewed and approved individually.

This plan will be updated annually and presented to the Board of Governors. Individual project updates will be provided to the Building Program Committee four times a year.





# Introduction

Situated on unceded Algonquin territory, Carleton University was founded by the community in 1942 to meet the needs of veterans returning from the Second World War. Over time, the student population outgrew its modest beginnings on First Avenue at what is now Glebe Collegiate, and land was purchased to develop Carleton University on a triangle of land between the Rideau River and the Rideau Canal, a UNESCO World Heritage Site. From its modest beginning to today, Carleton was and remains an integral part of the Ottawa community.

Its thriving campus accommodates more than 30,000 students, 1,000 faculty and 1,450 staff. Our main campus is now supplemented by two satellite locations that further connect Carleton to the broader Ottawa community. CU@Kanata is an innovation space in the heart of the national capital's tech hub, while Carleton's Dominion-Chalmers Centre provides an active arts, performance and learning space in the heart of downtown.

Our capital planning is guided by a number of strategic plans including Carleton's Strategic Integrated Plan, the Campus Master Plan, the Outdoor Space Master Plan and the Transportation Plan. These are supported by our commitment to sustainability and the goals outlined in the Strive for Sustainability Plan and our Energy Master Plan.

Over the last five years, one building addition, and two new buildings have been constructed – the Faculty of Engineering was expanded with the addition of its Design Centre, and the new Health Sciences Building and Nicol Building, home to the university's Sprott School of Business, were completed.

The newest crown jewel to the campus is a 450-bed student residence that is currently under construction and which will be the anchor to the Bronson Avenue entrance to the university. When the new student residence is completed in 2025, it will bring to 50 the number of buildings on campus. Projects to upgrade and renovate the Loeb Building, Paterson Hall and an expansion of the Terangga Commons Dining Hall and Kitchen to meet future growth of the student residence population, are underway.

We are always planning for the future and to that end, designs and preliminary plans are in the works for two potential state-of-the-art buildings including a Regional Aquatics Centre and Wellness Hub to compliment the Athletics precinct, and the Sustainability Research Centre to further expand the Engineering hub of buildings.

Our Campus Master Plan and other plans identify many exciting opportunities for future capital investments. Our Capital Plan provides the current status of that work.

# Developing Capital Projects

## The Process

The development of major capital projects (\$5 million or more) is overseen by the Board of Governors and evolves through multiple stages. The process starts with the identification of needs, key stakeholders and an executive sponsor. Once the business case is established by the Project Committee, the project comes to the Board for a series of approvals.

There are three principal approval steps at the Board:

1. **Capital proposal form:** The capital proposal form focuses on the business case and includes a concept design and preliminary (class D) cost estimates. Board approval provides authorization to invest in the development of more detailed designs and estimates.
2. **Project Planning report:** The project planning report focuses on schematic designs and includes more refined cost estimates (class C) and proposed funding sources. Board approval provides authorization to move to working drawings.
3. **Project Implementation report:** The project implementation report includes working drawings, a more refined (class B) cost estimate and funding sources. It includes details on schedules and cashflows. Board approval provides authorization to begin the tender process and start construction.

Once the project is underway, regular project status reports are provided. Upon completion of the tender process, a final (class A) cost estimate is provided. The Board's Building Program Committee and Finance Committee are updated at every meeting regarding the status of all ongoing capital projects. A Project Conclusion Report is filed at the end of every major capital project and includes lessons learned from the project implementation.

## Partnerships

Another example of the benefit of partnership, is the consultation held with the Rideau Valley Conservation Authority (RVCA) during the development of the current Campus Master Plan. As a result of information provided by the RVCA, the plan better reflects the flood plain information. Due to our location, Carleton's planning process often requires and benefits from consultation and collaboration with a number of key external stakeholders including, but not limited to:

- City of Ottawa
- National Capital Commission (NCC)
- Rideau Valley Conservation Authority
- OC Transpo

Over the lifespan of the expansion of the Light Rail Transit (LRT), Carleton and the City of Ottawa have been working very closely as the tracks run through the centre of campus. This requires collaboration between the two entities to co-ordinate the impact on our campus for various activities of the construction.

# The Planning Context

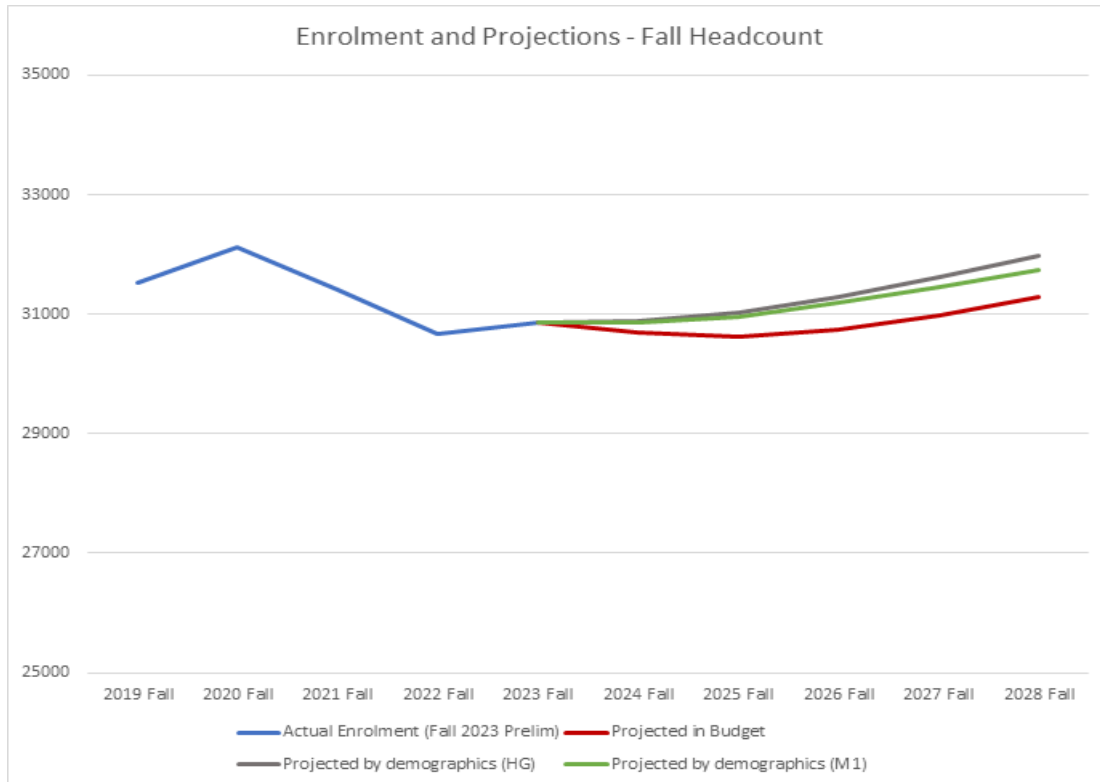
## Slow Enrolment Growth

Following many years of steady and modest growth in enrolment of undergraduates, Carleton has seen a decrease in recent years in entering cohorts. Those decreases have been moderated somewhat by increases in upper-year retention with more and more students staying until graduation. The flow through of these smaller entering cohorts is why Carleton is projecting enrolment declines until 2026. Demographic projections over the planning horizon lead us to expect growth in the 18-year-old population. This should facilitate return to pre-pandemic enrolment levels for undergraduates.

For many years, graduate enrolment growth was limited due to the funding model that controlled the number of funded graduate spaces. In recent years, there were opportunities to grow beyond those historical caps, as well as opportunities to meet international student demand. The result has been a steady growth in graduate students, which is projected to continue at a modest pace as past growth flows through and intake is increased largely through new programs.

The projections in the charts below include the assumptions on which we base our budget, as well as projections based on Statistics Canada projections – Medium Growth scenario (M1) and High Growth scenario (HG) for Ontario. Much of this growth comes most of this growth is in the Greater Toronto Area (GTA), and there will require enhanced effort to tap into markets outside of Ottawa.

Our current projections suggest it will be at least 2027 before student numbers return to pre-pandemic levels.



## Aging Infrastructure

Similar to other Canadian universities, Carleton has an aging building infrastructure. Our current building asset portfolio has an average building age of 40 years. Managing these assets requires carefully allocating the annual Capital Renewal Deferred Maintenance (CRDM) funding and provincially-funded Facilities Renewal Program (FRP) budget to address our campus community’s diverse and changing needs while mitigating infrastructure risk.

The Capital Renewal Plan is currently in year nine of Carleton’s 10-Year CRDM commitment. The CRDM addresses many needs, including improved electrical and plumbing systems, ventilation, building envelopes, interior finishes, site infrastructure (sewer/storm/watermain) and preventative maintenance. By addressing base building and site infrastructure issues first, the university will decrease the risks and costs associated with unexpected failures, unplanned disruptions on campus, and ensure that base building systems can adequately handle future renovations and research requirements.

## Transportation Challenges

There has been significant investment in initiatives to improve traffic flow on campus, as per the Transportation Plan. Enhancements to the Bronson Avenue intersection to campus includes an additional northbound, left-turn lane to facilitate exit from campus,

more pedestrian-friendly sidewalks and crosswalks, and improved lighting. Additional enhancements included a roundabout that was added near the P18 garage, as well as a new wider bridge that spans the O-Train tracks.

The Transportation Plan also recommended a third access point to campus, which led to the creation of Stadium Way, providing another exit for vehicle traffic. The campus is serviced by OC Transpo and data collected for the Transportation Plan identified an opportunity to provide improved routing with the expansion of Raven Road to Bronson Avenue. The construction of this extension was a collaboration between Carleton University, the City of Ottawa and OC-Transpo. This bus-only access point, improves southbound bus traffic flow.

## Future Vision

### Master Planning Documents

The vision for Carleton's campus is outlined in the Campus Master Plan (CMP), a five-year plan that presents a potential vision for the future. It takes into consideration how the campus' special attributes can be enhanced over time. The plan's "big moves" recommend enhancements to our green space, moving toward more pedestrian-friendly streets, pathways and gateways, as well as how to highlight natural features. A stormwater management approach is explored and potential development sites are also identified for consideration.

The CMP is supported by the Outdoor Space Master Plan and the Transportation Plan, which operationalize elements of the CMP. Many other key planning documents also inform our Capital Plan including the Strategic Integrated Plan, the Carleton Academic Plan and several other campus-wide and sector-specific plans.

### Governance of the Capital Plan

The Office of the Vice-President (Finance and Administration) and the Associate Vice-President (Facilities Management and Planning) are accountable for reviewing and updating this plan and the priorities identified within it.

An update on the Capital Plan will be presented annually to the Board of Governors, in addition to the updates on capital projects provided to the Building Program Committee four times a year.

# Projects Underway



# New Student Residence

## Project Intent

The new student residence building will provide 450+ beds for first-year students, as well as various types of amenity spaces for all students on campus. The building is designed to promote and enhance a student focused residential community experience.

## Project Scope

- The design of a residence building housing 450+ students with living and social spaces that support the first-year experience and Carleton University's mission and vision.
- A combination of single- and double- style bedrooms with semi-private or private bathrooms.
- Significant consideration for students with exceptional needs living in our community and amenities and spaces required.
- A first floor (or main floor) that provides amenity space for students including (but not limited to):
  - Welcoming entry
  - Study space
  - Communal lounge space
  - Social space (such as maker space, games room, etc.)
  - Laundry facilities
  - Fitness space (such as work out room, yoga area, etc.)
  - Common lounge space
  - Staff offices and staff living space

## Current Status

Project implementation approved, under construction.

## Estimated Project Cost

\$106 million

## Estimated Completion Date

April 2025 - Occupancy



# Teraanga Commons Dining Hall and Kitchen Expansion

## Project Intent

As a direct result of an increase in meal plan holders created by the new Student Residence, an expansion to both the kitchen and dining hall seating capacity is required.

## Project Scope

- Increase seating capacity to address the projected increase of students within the next five years.
- Upgrade delivery of food service stations to increase efficiencies and provide smooth provision of food services during peak times.
- Provide an aesthetically pleasing environment for visitors while enhancing offerings of more innovative and fresh meals from a variety of cultures.

## Current Status

Project implementation approved, construction to begin late 2023.

## Estimated Project Cost

\$8.5 million

## Estimated Completion Date

Construction completion August 2024. Final completion fall 2024.





# Decommissioning and Demolition of P9

## Project Intent

Decommissioning and Demolition of P9 Parking Garage as the building has reached its end of life.

## Project Scope

- Decommission and repurpose viable assets including but not limited LED lighting, EV charging stations, Code Blue security button currently located within P9.
- Relocation of a new ITS fibre pathway.
- Demolish all levels of the existing structure, as well as footings and tunnel sections located under structure.
- Grade and sod area following demolition.

## Current Status

Capital proposal form approved, developing project plan. Planning Report - February 2024; Implementation Report - April 2024.

## Estimated Project Cost

\$5 million

## Estimated Completion Date

Fall 2024



# Loeb Envelope Remediation and Replacement

### Project Intent

The goal of the project is to improve the overall “health” of the building while increasing our commitment to sustainability, reducing our carbon footprint, realizing direct cost savings in offsetting energy consumption and minimizing the required maintenance over a 25-year span.

### Project Scope

The project is for the replacement and remediation of the exterior walls and the replacement of the roof skylights, all the exits and the entrances of the Loeb Building.

### Current Status

Capital Proposal form approved, developing schematic designs. Project planning report expected April 2024; Project Implementation Report expected fall 2024.

### Estimated Project Cost

\$40 million

### Estimated Completion Date

End of 2027

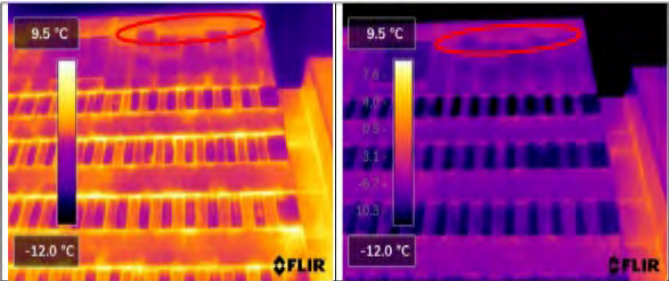
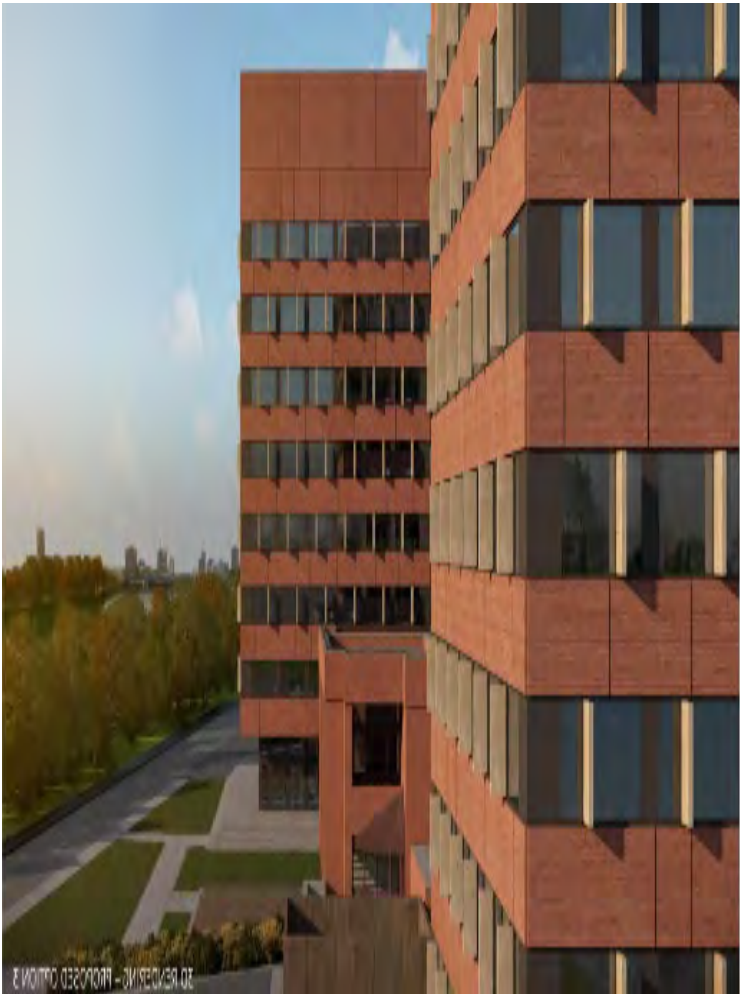


Photo 3 Thermal Bridging and Air Leakage at Panel Joints, South Elevation

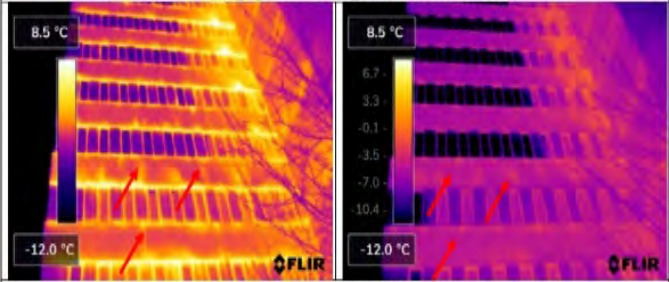


Photo 4 Thermal Bridging and Air Leakage at Panel Joints, East Elevation

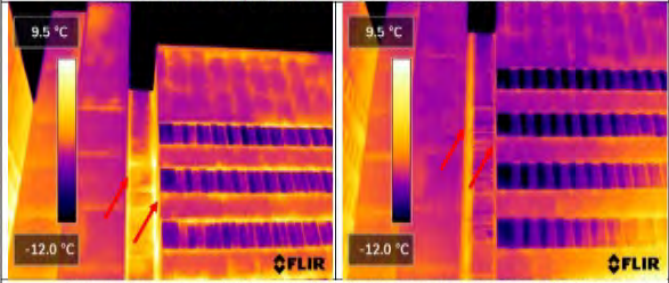


Photo 5 Air Leakage at Cladding Transitions (Inside Corner Condition), East Elevation

# Paterson Hall Building Retrofit and Renewal

## Project Intent

Replacing the entire building envelope and retrofitting all infrastructural systems.

## Project Scope

- Wholesale removal and replacement of mechanical and electrical systems and building envelope, including cladding and roofing.
- Assessing the feasibility of a consolidated central cooling plant within Paterson Hall and intrusive investigation.
- Investigative, intrusive pre-design and concept designs.
- Decreasing the cost of ownership on maintenance and operation.
- Maximizing energy cost savings and reducing GHG emissions.

## Current Status

Capital proposal under development, developing concept designs. Capital Proposal - February 2024; Planning Report - fall 2024.

## Estimated Project Cost

\$40 million

## Estimated Completion Date

Late 2028, early 2029



# Projects Under Consideration



# Regional Aquatics and Wellness Hub

## Project Intent

Expansion of fitness, wellness and aquatics, plus academic space that will enhance the student experience, culture and pursuit of well-being on campus.

- Phase 1 – Fitness and Aquatics Facility
- Phase 2 – Academic Programing

The building offers a new progressive service model which brings together health, wellness and research entities while creating a gateway to the Carleton campus along Bronson Avenue, as well as connecting the university to the broader city of Ottawa. It will be a place that removes obstacles of accessibility and learning facility and reflects diverse needs, interests and identities with the campus community.

## Project Scope

**Phase 1:** Expanded fitness centre and new aquatic centre (two pools), including a possible option for a diving tower.

**Phase 2:** Wellness Hub, including research, academic space, and leased space. The Wellness Hub building would include an agora and large open spaces with lots of windows and natural light.

## Current Status

On hold

## Estimated Project Cost

Under review to be updated to reflect a phased delivery approach.

## Estimated Completion Date

To be determined



# Sustainability Research Centre (SRC)

## Project Intent

Generate new income streams, resolve the Faculty of Engineering and Design's space needs, and attract new talents, donors and partnerships.

## Project Scope

The Sustainability Research Centre is a 215,000sq. ft., six-storey building. Five signature showcase spaces on the main level will highlight program activity, and contain:

- Research labs
- Gathering and collaboration spaces
- Offices
- Meeting rooms
- Computer labs
- Grad carrels

Sustainable Design Strategies were utilized to limit embodied carbon and reduce energy consumption.

## Current Status

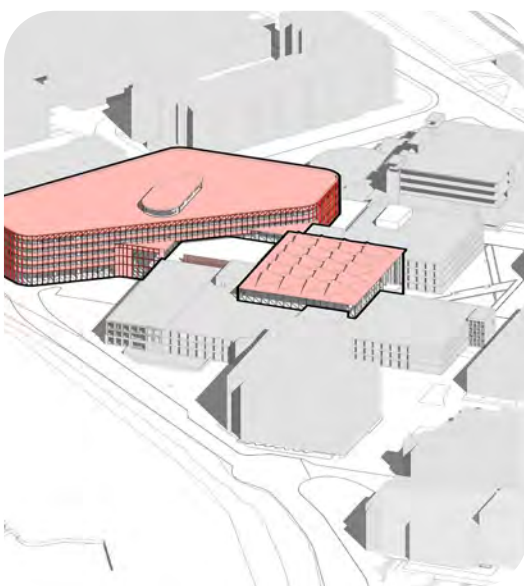
The schematic design report has been received, and the project is currently on hold.

## Estimated Project Cost

To be determined

## Estimated Completion Date

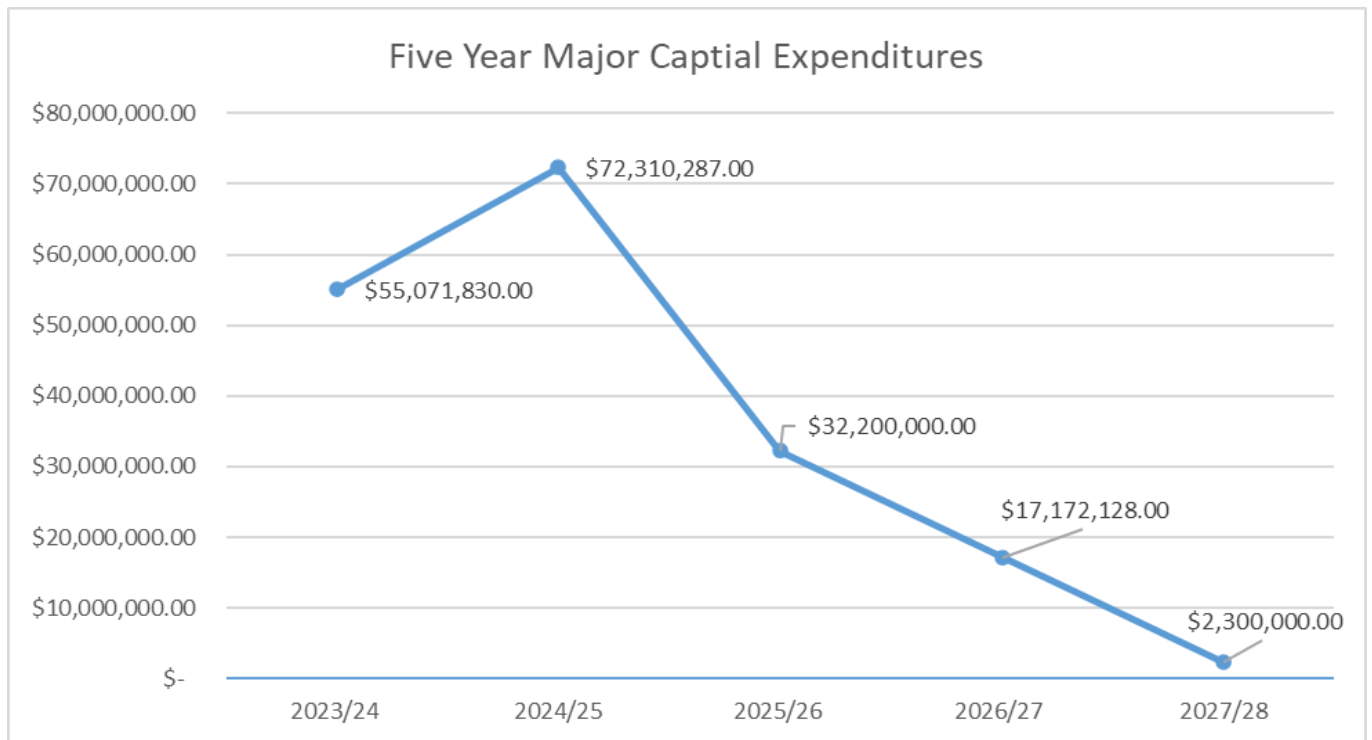
To be determined



# Capital Budget Projections

## Capital Budget and Expenditure Forecast

The capital budget for major projects currently underway is \$199,500,000. Over the next five years, capital project expenditures are forecasted to total over \$179,000,000. This expenditure forecast is based upon the stages that the projects are currently at in their project life cycle, and are adjusted and monitored on a monthly basis.



In 2021, Carleton issued a \$220-million debenture to fund capital investments. Current projects are expected to deploy \$160 million of that capital with the remaining \$39.5 million in project costs to come from various ancillary budgets. The remaining \$60 million in debenture funds will be reserved for future capital projects.

# Major Capital Projected Five-Year Budget

CARLETON UNIVERSITY				
MAJOR CAPITAL INVESTMENT PROGRAM				
Oct-23				
		BUDGET	FUNDING SOURCE BREAKDOWN	
PROJECT	ESTIMATED BUDGET	Debenture Fund	Other funding sources	
<b>Projects Underway</b>				
New Student Residence	106,000,000	80,000,000	26,000,000	
Loeb Building Envelope Remediation and Replacement	40,000,000	40,000,000	-	
Paterson Hall Renewal and Retrofit	40,000,000	40,000,000	-	
P9 Decommissioning and Demolition of P9 Parking Garage	5,000,000		5,000,000	
Teraanga Commons Dining Hall and Kitchen Expansion	8,500,000		8,500,000	
<b>Subtotal</b>	<b>199,500,000</b>	<b>160,000,000</b>	<b>39,500,000</b>	
<b>Projects Under Consideration</b>				
Regional Aquatics Facility (10 lane pool)	75,000,000	TBD	TBD	
Sustainability Research Centre	225,000,000	TBD	TBD	
<b>Subtotal</b>	<b>300,000,000</b>	<b>TBD</b>	<b>TBD</b>	



# Capital Renewal and Deferred Maintenance

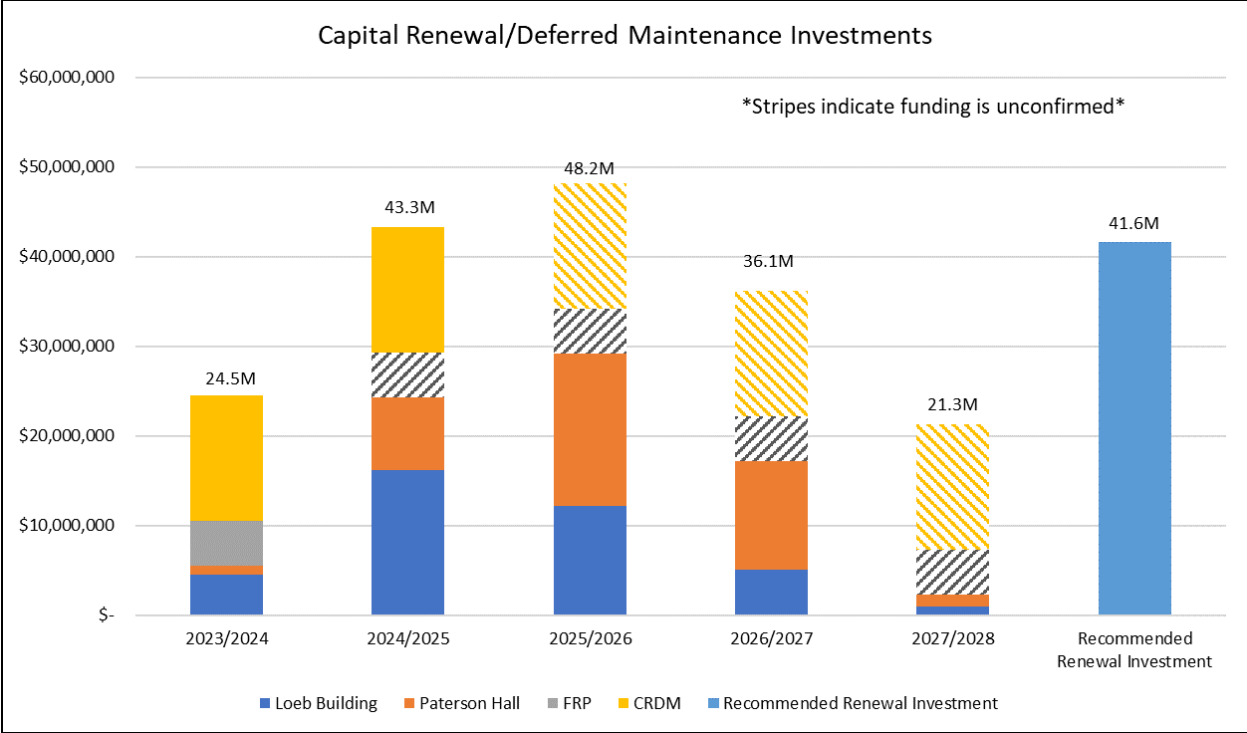
Carleton routinely audits its facilities and infrastructure in order to gather data on the condition of buildings, the associated systems, and infrastructure in order to plan for capital renewal and identify deferred maintenance requirements. This information allows the University to develop Capital Renewal and Deferred Maintenance (CRDM) plans to address risks and provide overall stewardship of the assets.

Carleton audits a minimum of 25% of its assets each year. The audits provide data on building condition, condition of building systems, and infrastructure. These audits are carried out by an independent third party utilized by all of the universities in the province. All of the data is held centrally and is shared with the Council of Ontario Universities (COU) and the Ontario Ministry of Infrastructure (MOI).

The Facility Condition Index (FCI) is a measure used to help us understand the overall asset condition. The Facility Condition Index (FCI) is calculated as the total cost of needed building repairs and renewal divided by the current replacement value cost of the building (CRV). Each building's FCI score reflects the current condition of the building: good, fair, poor, or critical. Generally, an FCI of 0-10% is good, 10-25% is good to fair, 25-60% is fair to poor, 60% and over is critical. For example, the FCI for Paterson Hall – which is slated for major renewal – is 26%.

The audit process was recently expanded to examine additional building components. This increased level of investigation identified more potential repairs and negatively impacted universities' FCIs and deferred maintenance backlogs. We have identified the recent FCI and recommended deferred maintenance in 4 asset categories: Academic/Administration, Ancillary, Residences, and Infrastructure. The 3-year FCI for each category and the associated deferred maintenance cost estimates for Carleton – based on the data from the February 2023 report – are as follows:

Category	FCI	3-year Deferred Maintenance
Academic/Admin	6.5%	\$82,522,795
Ancillary	8.1%	\$48,221,290
Infrastructure	17%	\$44,507,460
Residence	6.5%	\$16,951,694



Utilizing the new audits, the recommended maintenance over the next three years totals \$192,203,239 and the University’s total deferred maintenance backlog is estimated at \$1,194,618,078. The generally accepted investment strategy for annual renewal is 2% of CRV which would be \$41,647,436 annually.

Carleton’s estimated deferred maintenance costs resulting from the new audit procedures are more than double those estimated using the previous method. In 2020-21, Carleton’s total deferred maintenance was estimated at \$550 million. Carleton, along with other Ontario universities, is currently reviewing the new data to identify discrepancies and reconcile the FCI and deferred maintenance values. Nevertheless significant deferred maintenance backlogs are a sector-wide problem which has been of concern for some time.

Carleton is investing significant resources in addressing campus renewal. Two major capital projects are currently underway to significantly upgrade existing campus buildings – Loeb and Paterson. Expected investments in these two projects total \$80 million.

Each year, Carleton invests approximately \$19 million in Capital Renewal and Deferred Maintenance projects based on a list of priority projects presented to the Building Committee and Board of Governors. Carleton receives approximately \$5 million per year from the provincial government’s Facilities Renewal Program (FRP) for specific CRDM projects included on this list. The other projects are funded through a \$14 million

per year investment in CDRM from the university's operating budget – which is also under pressure at this time. This investment is based on a 10-year commitment made by the Board in 2015 and which will need to be revisited in 2025.

# Bibliography

## Key University Documents

Campus Master Plan  
Carleton Academic Plan  
Energy Master Plan  
Outdoor Space Master Plan  
Strategic Integrated Plan (SIP)  
Strive for Sustainability  
Transportation Plan

# Acknowledgements

This document was prepared by the Office of the Vice-President (Finance and Administration) with contributions from the following individuals.

<b>Lorraine Dyke</b>	Vice-President (Finance and Administration)
<b>Gary Nower</b>	Associate Vice-President (Facilities Management and Planning)
<b>Leanne Wilson</b>	Project Manager (Facilities Management and Planning)
<b>Maria McClintock</b>	Assistant Director, Strategic Initiatives and Communications
<b>Nathasha Macdonald</b>	Associate Vice-President (Institutional Research and Planning)
<b>Angela Marcotte</b>	Associate Vice-President (Financial Services)

<b>To:</b>	Board of Governors	<b>Date of Report:</b> 6 October 2023
<b>From:</b>	Building Program Committee	<b>Date of Meeting:</b> 5 December 2023
<b>Subject:</b>	<b>Strive for Sustainability Annual Report 2022-2023</b>	
<b>Responsible Portfolio:</b>	Vice-President (Finance and Administration)	

**1.0 PURPOSE**

For Approval    For Information    For Discussion

**2.0 MOTION**

None

**3.0 EXECUTIVE SUMMARY**

We are pleased to report on the ongoing sustainability initiatives across the university for 2022-2023. We have continued to make progress on our sustainability plan, identify opportunities for carbon reduction, demonstrate climate commitment and assess our sustainability work against wider benchmarks and external assessments.

The university’s Strive for Sustainability Plan demonstrates Carleton’s commitment to making a positive impact through environmental sustainability performance. It also sets out plans for achieving this, including objectives and targets and specific programs. In addition, the Carleton Energy Master Plan provides a road map towards a carbon-neutral campus.

Carleton’s targets commit the university to reducing Scope 1 (direct) and Scope 2 (indirect) emissions. The goal is to have a carbon neutral campus by 2050, following a 50 per cent reduction by 2030. While there has been an increase in overall emissions, this is largely due to increased gas use from the co-generation plant and a fully operational return to campus. Facilities Management and Planning (FMP) has employed retrofits for lighting, and wider HVAC improvements. Carleton has also begun to estimate Scope 3 emissions as part of our data transparency. This has improved our awareness of the impacts from various activities including travel, procurement, and investments.

Over the past year, we have been working to strengthen our carbon reduction commitments. This has led to Carleton becoming a signatory to the Net-Zero Challenge, set by the Government of Canada, which builds upon our existing pledges to promote sustainability. We have also become a Nature Positive University, which will help us enhance biodiversity on the campus and review activities towards broader upgrades.

In 2022, Carleton was recognized for our commitment to sustainability by earning a Gold Certification from the Association for the Advancement of Sustainability in Higher Education (AASHE) as part of its Sustainability Tracking Assessment and Rating System (STARS). We have continued to maintain this certification and have been, once again, recognized as a Top Performer in the AASHE Global Sustainable Campus Index. We also submitted our progress towards the UN Sustainable Development Goals (SDGs) and ranked within the top 100 for two SDGs, in the Times Impact Rankings.

A strategic approach to sustainability programs and outcomes is helping ensure that Carleton meets the goals set out in the Strive for Sustainability Plan, the updated Campus Master Plan and those outlined in the Carleton Strategic Integrated Plan (SIP).

#### 4.0 INPUT FROM OTHER SOURCES

Facilities Management and Planning (FMP) prepared the Sustainability Report 2022-2023, with additional information from respective project managers and partner reports, including energy, procurement, travel claim data and endowment (Office of Pension Fund Management).

#### 5.0 ANALYSIS AND STRATEGIC ALIGNMENT

The Sustainability Report 2022-2023 provides a broader understanding of key programs and metrics as they relate to sustainability within the previous fiscal year. The report, therefore, aligns with the SIP and the Campus Master Plan.

#### 6.0 FINANCIAL IMPLICATIONS

There are no financial implications.

#### 7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT

Carleton's Strategic Integrated Plan (SIP) has identified sustainability as a core strategic initiative. Failure to achieve sustainable goals as established by the university could be a strategic and reputational risk, and result in higher operating costs. In addition, failure to reduce the university's carbon footprint could result in higher energy costs through carbon taxes and energy consumption costs. The risk is mitigated by implementing sustainability goals, monitoring their progress, and taking the necessary steps to meet these goals.

#### 8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

University Communications and the Assistant Director of Strategic Initiatives and Communications (Finance and Administration) support the communications of Carleton's sustainability progress and achievements to the campus community and external stakeholders, in collaboration with the Sustainability team.

#### 9.0 OVERALL RISK MANAGEMENT ANALYSIS

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

# Strive for Sustainability Annual Report

2022-2023

# Commitments, Awards and Recognition

Carleton became a signatory to multiple sustainability programs, including:



Government of Canada's Net-Zero Challenge



Race to Zero – Universities and Colleges



Nature Positive Universities

Carleton was recognized for campus sustainability as part of the following rankings or certifications:



UI Green Metric – Carleton ranked 49<sup>th</sup> globally and 2<sup>nd</sup> in Canada



The Times Impact Rankings – Carleton ranked 301-400<sup>th</sup> (of 1591 universities)



SPE Certification – 3 star in recognition of efforts toward nutritious, sustainable dining in The Caf



Designated as a Fair Trade campus



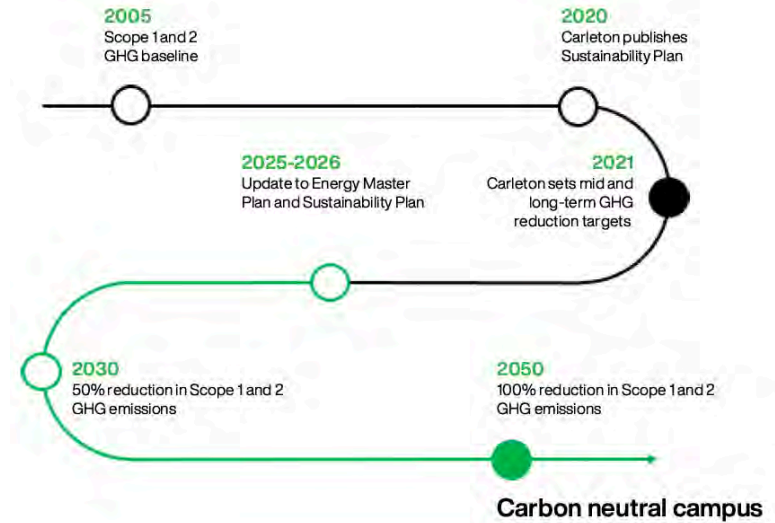
# Pathway to a Carbon Neutral Campus

In 2022-23 the following programs have been completed:

- St. Patrick's Building underwent mechanical and lighting upgrades to improve energy efficiency and reduce GHG emissions
- Lighting in the MacOdrum Library, Azrieli Pavilion, and HCI/VSIM has been replaced with LED lamps to reduce energy consumption
- HVAC upgrades, and solar studies for buildings and parking lots

Our wider carbon neutral programs objectives include:

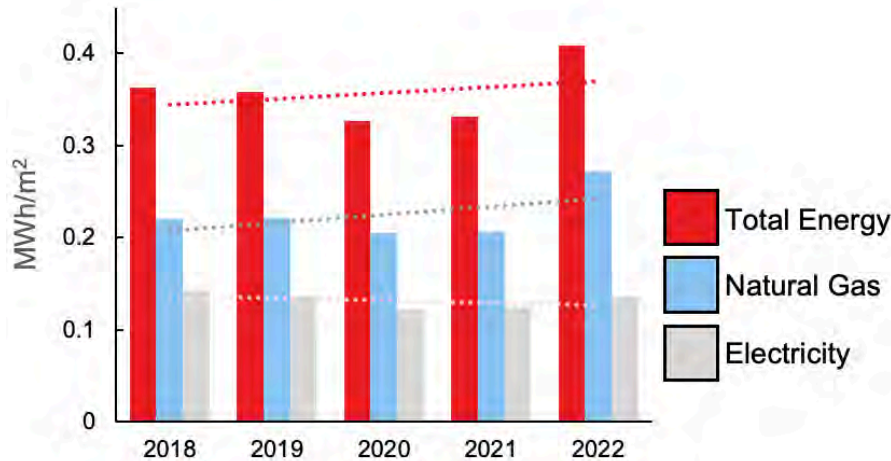
- The expansion of the current district energy infrastructure
- A review of innovative generation, distribution, and delivery technology to lower environmental impacts
- Developing programs for substantial gains in building and thermal efficiencies



# Energy Consumption

In 2022, our total energy consumption increased by 23% from 2021, mainly due to increased on-campus presence and operational changes post-covid.

2018-2022 Total Building Consumption per building area (MWh/m<sup>2</sup>)



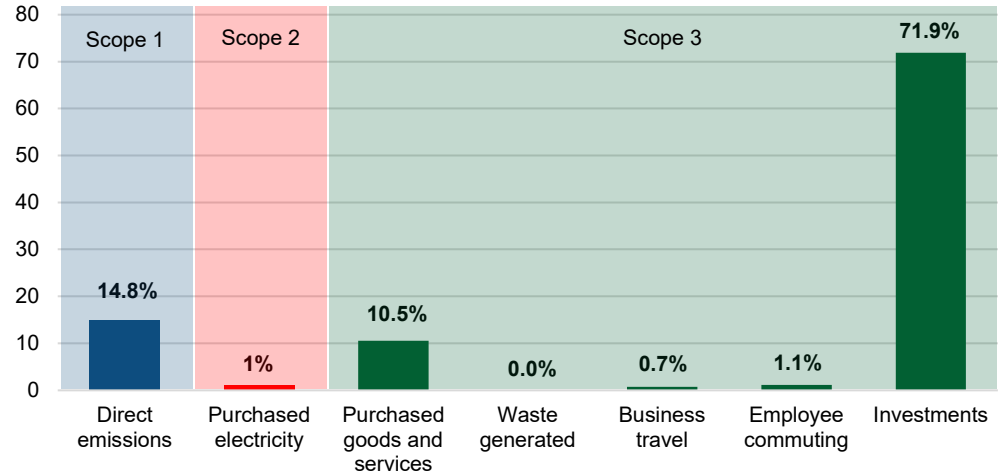
2018-2022 Total Building Consumption

Year	Gas/MWh	Electricity/MWh
2018	105,936	68,617
2019	107,334	66,218
2020	99,403	59,341
2021	102,857	62,024
2022	135,546	67,611

# Greenhouse Gas Emissions by source

As part of Carleton's ongoing sustainability efforts, we have extended reporting to all GHG emissions, including Scope 1 and 2 (energy use) and Scope 3 emissions.

- Scope 1 represents 14.8% of total emissions, the majority Natural Gas.
- Scope 2 contributes 1% of total emissions via purchased electricity.
- Scope 3 drives 84.2% of total emissions, with the most prominent being investments (71.9%).



# Sustainable Travel

- Carleton partnered with Bird Canada to provide on-campus e-scooter rentals. The program saw 488 rides and 1,014km travelled.
- Carleton participated in 'Let's Bike Ottawa Month' with the staff and faculty team, Road Ravens, clocking up 5,487km and averting 1400kg GHG. In addition, bike workshops and bike tune-ups were provided to over 100 members of staff.
- The updated Employee Purchase Program approved five loans for employee bicycle and e-bike purchases.



# Engaging Our Community

- Installed additional bird-friendly glazing in 5 buildings, to prevent bird deaths due to collisions. This glazing is now a new standard for any new construction.
- Carleton's food service provider purchased 25 per cent of its food supplies from local and humane food sources in 2022.
- Carleton updated the Green Workplace Certification program with updated categories and scoring.
- Carleton completed bi-annual 'clean-up the campus' events, engaging both staff and students to keep the campus litter-free.



# Sustainable Investments

As per the Responsible Investing policy of the Endowment and Operating Funds, the following programs have been completed in 2022:

- Alignment of the Principles for Responsible Investment (PRI) to Carleton's responsible investing practices
- Established a fossil fuel free fund to which donors may direct their gifts
- A carbon footprint assessment was completed on the listed equities of the Endowment and Operating Funds
- Carleton continues to not hold any direct fossil fuel investments
- An inaugural Responsible Investing Report was completed for the combined Endowment and Operating Funds

Note: These Responsible Investment (RI) updates are presented in more detail to the Finance Committee.

# Sustainable Procurement

- The Carleton University Reuse Base (CUrb) had six departments sell or give away 45 items resulting in a \$27k return of funds and 4,514lbs of wasted diverted.
- Overall, 14% of Procurement's public Request for Proposals included specific requirements or weighted criteria aligned with sustainable principles.
- Procurement's total spend evaluated for diversity was ~\$251M, based on the 2021 and 2022 calendar years (Jan 2021-Dec 2022). The diverse "qualified" spend totaled \$14.7M (or 5.8%).
- Procurement adopted accessible procurement considerations into policy, formed an Advisory Group (APAG), and launched voluntary disclosure in eShop and resources website.

# Journey to Zero Waste

- Total amount of waste diverted from landfill has increased by 41% since 2020.
- Completed multiple waste audits across the campus including ones specific to food operations.
- Increased the number of 4-sorter bins across campus and added additional outdoor waste bins in strategic locations, such as in front of Nideyinan.
- Re-established specialized waste collection programs for textbook recycling, personal e-waste and batteries.
- Established a new stream for pen recycling.

## 2022 Total Waste

Disposal Method	Tonnes
<b>Recycled</b>	<b>299.6</b>
- Organics	95.2
- Cardboard	101.3
- Mixed containers	32.8
- Mixed paper	34.4
- Wood	9.1
- Metal	26.8
<b>Landfill</b>	<b>709.5</b>
<b>Total</b>	<b>1,009.1</b>



# Future Programs and Success

- Align sustainability reporting to ESG initiatives, a pillar within the new F&A strategy.
- Ensure the availability of necessary capacity and resources are aligned to sustainability programs and future ambitions for Carleton to become a leader in sustainability.
- Review key suppliers and work to embed sustainability outcomes throughout the supply chain.
- Pilot additional zero-waste initiatives and work towards improving waste collection and engagement.
- Continue enhancing energy programs and embedding sustainability in retrofits, such as the upcoming renovations at The Caf.

# Sustainability Report 2022-23

Carleton University



## Introduction

## Sustainability

## Transparency



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## Message from Sustainability Carleton

Sustainability Carleton is responsible for the overall sustainability of operations across campus, ranging from travel and waste, to energy and dining. This is delivered by working with departments and partners across the university, to ensure responsible management of our resources, and maintaining our high sustainable standards.

Alongside developing and maintaining infrastructure and services, Sustainability Carleton also focuses on behaviour change to support the rollout and uptake of its initiatives. The biggest focus, is our target to reduce our scope 1 & 2 carbon emissions to 50% by 2030 and to ensure the campus is carbon neutral by 2050. In essence, this means Carleton will reduce our emissions to as low as possible and we will continue to work across our estate on low-carbon upgrades, new sustainable buildings and innovative solutions. We are also looking forward to future ambitious timescales for reducing our Scope 3 emissions, including the carbon associated with travel to and from campus, as well as other indirect sources, such as our procurement activities. This report, for the first time, includes information on our Scope 3 Greenhouse Gas (GHG) emissions data.

The aim of our annual report is to be transparent about our performance in relation to key objectives set out in our Comprehensive Sustainability Plan (2020-25), within the areas of leadership, energy, water, waste, travel and food operations. Monitoring our performance in relation to our targets ensures we are always striving to improve. The report also provides information about wider projects on the campus and demonstrates how we, as a community, are striving for sustainability.





# Introduction

**In this section:**  
Program Highlights  
Commitments, Awards and Recognitions  
Sustainability Plan  
UN Sustainable Development Goals



## 2022-23 Program Highlights

### Recognition

**One of the first universities** to sign up for the **Government of Canada's Net-Zero Challenge.**

**Recognized in the Top 50** for the UI Green Metric global university rankings

**Recognized in the Times Higher Education Impact rankings** for Sustainable Development Goal 12: Responsible Consumption and Production (50th) and Goal 14: Life Below Water (82nd)

Became a founding **member of the Nature Positive University program**

**Achieved 3-star** Green Restaurant certification

### Initiatives

Engaged the campus community in **'Let's Bike Ottawa Month'** programs to increase active transportation rates

Developed first GHG emission **inventory for Scopes 1, 2 and 3**

**Completed a carbon footprint assessment** of the listed equities of the Carleton Endowment and Operating Funds

**Completed energy projects** and audits towards GHG reduction goals

Rolled out additional internal and external four-sorter waste bins and **completed three waste audits**



## Commitments, Awards and Recognitions

In 2022-23, Carleton’s leadership in sustainability was recognized through our public commitments and various awards and recognitions.

### Commitments to sustainability leadership

Carleton is proud to be an official participant in the Government of Canada’s Net- Zero Challenge, launched in 2022 . The Net-Zero Challenge is a voluntary initiative that encourages organisations to develop and implement credible plans to transition their facilities and operations to net-zero emissions by 2050.



Carleton is a member of the University Global Coalition, a global platform of universities and other higher education organizations committed to working together and in partnership with the United Nations, in support of the Sustainable Development Goals.



Carleton is member of the Sustainable Development Solutions Network. The network offers an integrated approach to implementing the Sustainable Development Goals (SDGs) and the Paris Agreement on Climate Change, through education, research, policy analysis, and global cooperation.



Nature Positive Universities are halting and reversing nature loss so that species and ecosystems can start to recover. Being Nature Positive means that Carleton is reviewing species and ecosystems that have been harmed by our activities and looking towards enhancing the positive impacts of nature on our campus.



Carleton has received external GHG inventory verification in accordance with ISO 14064 Greenhouse gases - Part 3: Specification with guidance for the validation and verification of greenhouse gas assertions (ISO 14064-3) and with the requirements of the EPS Regulations.



Carleton is proud to be a member of the Race to Zero for Universities and Colleges. The campaign is powered by the UN Environment Programme, EAUC & Second Nature - and is a global initiative to rally leadership and action in the education sector.



Carleton is a signatory of the Investing to address climate change: a charter for Canadian universities. The charter outlines how universities have a responsibility to act constructively to address the challenges of climate change and abides members to set principles and practices.



Carleton is a proud signatory to the United Nations supported Principles for Responsible Investment (PRI), which are considered best practice in the area of responsible investment.





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## Sustainability leadership awards and recognition

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Carleton was ranked 49th internationally and 2nd in Canada among over 900 universities in the UI Green Metrics international ranking system for sustainability in 2022. The rankings are the first and only university rankings in the world that feature each participating university's commitment in developing an 'environmental friendly' university.



Carleton has earned a STARS Gold rating in recognition of its sustainability achievements from the Association for the Advancement of Sustainability in Higher Education (AASHE) STARS – sustainability tracking, assessment and rating system – measures and encourages sustainability in all aspects of higher education.



Carleton was ranked 301-400th in the Times Higher Education Impact Rankings 2023. With over 1500 universities included, Carleton was ranked 50th for Goal 12: Responsible consumption and production, and 82nd for Goal 14: Life below water. The rankings are the only global performance tables that assess universities against the United Nations' Sustainable Development Goals.



Carleton is recognized as a Fair Trade Campus. This designation is bestowed to campuses that have committed to advance the positive impact of Fair Trade.



Carleton's dining hall, the Caf, has earned a three-star SPE Certification in recognition of their commitments to serving nutritious and environmentally sustainable food, the first 3-star rating for a higher education in Canada. Carleton is also committed to sustainable sourcing and supporting the regional community through programs for composting, regional sourcing and MSC certification.



Carleton is committed to ensuring that all new construction and major renovations achieve a minimum rating of 3 out of 5 globes with the Green Globe rating program. To date, 11 buildings on campus have been rated.



Carleton is only the second Canadian university to have a restaurant certified by The Green Restaurant Association. The GRA's certification aims to provide technical guidance to dining establishments who want to assess and advance the sustainability of their operations by creating standards that provide multiple routes for minimizing a restaurant's impact on the environment.







## Sustainability Plan

Carleton University is committed to working towards a sustainable future. We have created the Comprehensive Sustainability Plan (2020-25), a five-year plan establishing priority actions under six pillars:

The plan outlines 20 actions that will help us advance sustainability at Carleton. A summary of our progress on each of the sustainability action items can be found in the Sustainability Plan Progress table. Further details on our 2022 achievements under each of these pillars are provided in the sections: GHG Emissions, Energy Consumption, Engaging Our Community, Sustainable Investments, Sustainable Procurement and Zero Waste.



### Leadership

We will demonstrate leadership by integrating sustainability principles into our decision-making and activities.

### Teaching and Learning

We will strive to inspire and support students to be leaders in sustainability and to continue to adapt for a sustainable future.

### Research

We will focus on collaborative, interdisciplinary research with social, environmental and economic impact.

### Operations

We acknowledge the environmental impact of our operations and will work towards a future where our operations exemplify sustainability best practice and innovation.

### Community Engagement

We acknowledge that improvements towards sustainability are dependent on the active involvement of all members of our university community.

### Sustainable Collaboration




We will focus on where and how external relationships can strengthen our institution and increase understanding around sustainability.






## UN Sustainable Development Goals

The United Nation Sustainable Development Goals (SDGs), are a set of goals adopted in 2015, as a call to action to protect the planet and ensure that by 2030 all people enjoy peace and prosperity and can live without fear of poverty. In total there are 17 SDGs which recognize the full interconnectivity of sustainable development and that outcomes in one area will affect outcomes in others. Development must proceed with an intergrated approach to Social, Economic and Environmental Sustainability.

Carleton has identified the SDGs below as ones that align closest to our sustainability goals and actions, as identified in our Sustainability Plan. The table below demonstrates how we are currently or plan to, contribute to these goals. The SDG indicators are also outlined throughout this report.

Goal	Target	Contribution
	<p><b>7.2 Increase global percentage of renewable energy</b> By 2030, increase substantially the share of renewable energy in the global mix.</p>	<p>Carleton is supporting on-site electricity generation through its co-generation plant, which provides 15% of our electricity mix. We are looking towards future on-site renewable generation and electric boilers to phase-out gas use. See the <b>Energy Consumption</b> section, for more information.</p>
	<p><b>9.4 Upgrade all industries and infrastrucutre for sustainability</b> By 2030, upgrade infrastructure and retrofit industries to make them sustainable, with increased resource-use efficiency and greater adoption of clean and environmentally sound technologies and industrial processes, with all countries taking action in accordance with their respective capabilities.</p>	<p>Carleton is investing in Green Globe certified buildings as well co-generation. We are also working to upgrade and retrofit our buildings and infrastrucutre to make our campus more energy efficient and emit lower GHG emissions. See the <b>Energy Consumption</b> section, for more information.</p>
	<p><b>12.5 Substantially reduce waste generation</b> By 2030, substantially reduce waste generation through prevention, reduction, recycling and reuse.</p>	<p>Carleton is working towards the goal of becoming a zero waste campus. We are taking steps to better understand the sources of waste and have increased our waste offering by improving waste bins and waste engagement, and increasing recycling options. See the <b>Zero Waste</b>, for more information.</p>



Goal	Target	Contribution
	<p><b>11.2 Affordable and sustainable transport systems</b> By 2030, provide access to safe, affordable, accessible and sustainable transport systems for all, improving road safety, notably by expanding public transport, with special attention to the needs of those in vulnerable situations, women, children, persons with disabilities and older persons.</p>	<p>Carleton has increased options for active and sustainable transportation. We have developed cycling programs and partnered with a city-wide e-scooter program to allow for usage to and from campus, helping to promote sustainable transport and moving away from the need to commute by car. We have also expanded electric vehicle charging options. See the <b>Sustainable travel</b> section, for more information.</p>
	<p><b>13.2 Integrate climate change measures into policies and planning</b> Integrate climate change measures into national policies, strategies, and planning.</p>	<p>Carleton has set a target to reduce emissions by 50% by 2030 and to be a carbon neutral campus by 2050. We have also integrated climate change and sustainability measures into Carleton policies, including procurement and investments, and have updated the Environmental and Sustainability policy to better reflect our goals. The Carleton Strategic Integrated Plan also includes as a key direction: ‘strive for wellness, strive for sustainability’, with the goal to become a national and international leader in sustainability.</p>
	<p><b>17.H Encourage effective partnerships</b> Encourage and promote effective public, public-private and civil society partnerships, building on the experience and resourcing strategies of partnerships.</p>	<p>Carleton promotes effective engagement and partnerships across the campus community to ensure strategic sustainability programming. We look to engage both teaching and research towards campus sustainability and work across departments on joint programs. See the <b>Engaging community</b> section, for more information.</p>



# Sustainability

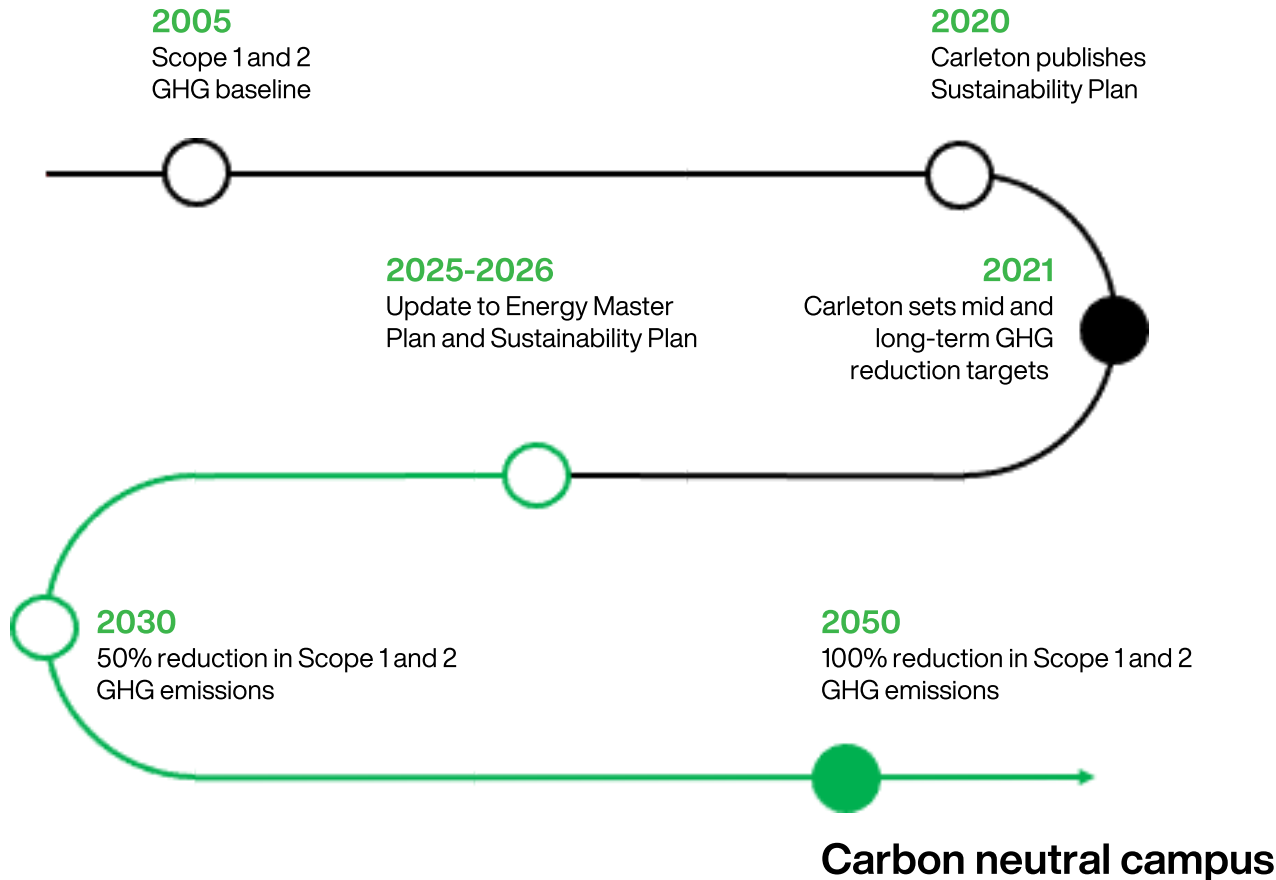
## In this section:

Climate Action  
GHG Emissions  
Energy Consumption  
Sustainable Travel

Engaging Our Community  
Responsible Investments  
Responsible Procurement  
Zero Waste



## Pathway to a Carbon Neutral Campus



Carleton has set a target to become a carbon neutral campus by 2050.

### Our Scope 1 and 2 carbon neutral programs include:

- Expand the current district energy infrastructure
- Review innovative generation, distribution, and delivery technology to lower environmental impacts
- Maximize renewable energy generation
- Develop programs for substantial gains in building and thermal efficiencies



## Greenhouse Gas Emissions

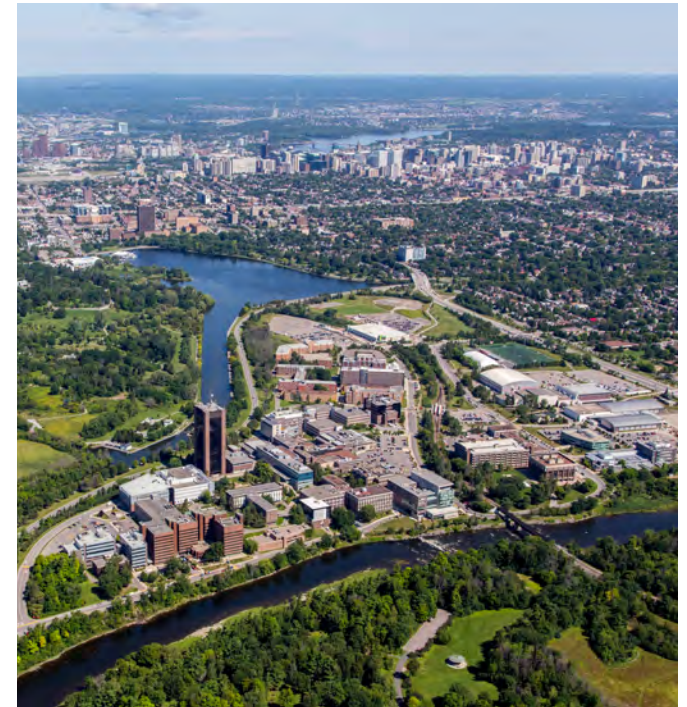
Carleton's main sources of energy consumption and operational emissions (scope 1 and scope 2) are fuel used in our facilities (such as natural gas for heating), and electricity to power our buildings. The main sources of emissions in our indirect value chain (scope 3) include our investments, business travel, and purchased goods and services. In 2022, Carleton generated a total of 1,206 kt CO<sub>2</sub>e, with scope 3 emissions accounting for 71% of that total.

### Methodology

As part of Carleton's ongoing sustainability efforts, we are looking to extend our data and transparency towards all GHG emissions including Scope 1 and 2 (energy use) and Scope 3 emissions. As we developed our GHG emissions reporting, we made the following updates:

- Expanded GHG scope 3 assessments, based on spend, for Procurement and business travel.
- Completed an externally verified carbon footprint assessment on the listed equities of the Endowment.
- Incorporated utility consumption data for all university locations.
- Completed a GHG assessment for commuting travel, based on model share and campus population.

Where possible, updates were made to our GHG inventory data back to 2020. To view our full inventory data, please refer to our **Data Supplement**.





## GHG Emissions

### 2022 GHG Emissions

Emissions Source	2022 kt CO <sub>2</sub> e
<b>Scope 1</b>	
Facilities	24.9
Fleet	0.38
<b>Total Scope 1</b>	<b>25.28</b>
<b>Scope 2</b>	
Electricity	1.73
<b>Total Scope 1 and 2</b>	<b>27.01</b>
<b>Scope 3</b>	
Purchased goods and services	17.9
Waste generated	0.0004
Business travel	1.2
Employee commuting	1.9
Investments	123
<b>Total Scope 3</b>	<b>144</b>
<b>Total Scope 1, 2 and 3</b>	<b>171</b>

### 2022 GHG Emissions by Source



Scope 1 represents 14.8% of total emissions, the majority coming from Natural Gas emissions

Scope 2 contributes 1% of total emissions via purchased electricity.

Scope 3 drives 84.2% of total emissions, with the most prominent being investments (71.9%)

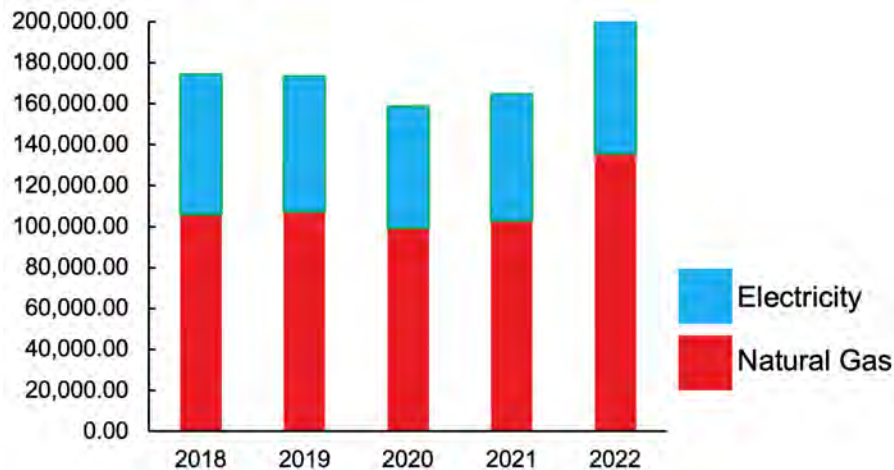


## Energy Consumption

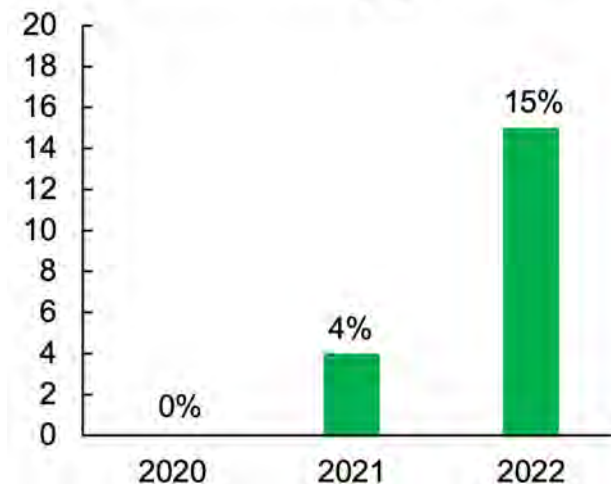
In 2022, our total energy consumption increased by 23% from 2021, mainly due to increased on-campus populations and changes based on post-covid activity. Our percentage of electricity generated on campus, increased by 11%, up to 15%.

We are in the early stages of implementing our strategy to achieve our scope 1 and 2 emissions reduction targets, this includes enhancing energy efficiency and increasing our use of renewable energy. As we continue to roll out our operational Energy Master Plan, we expect our energy consumption to fall with the increased efficiency of our building systems.

### 2020-22 Total Building Consumption (MWh)



### Percentage of On-Site Electricity Generation







## Energy Consumption

In 2022, the St. Patrick's Building underwent mechanical and lighting upgrades to offer improved energy efficiency and to reduce GHGs. Additional work will be carried out in phases over several years. A feasibility study was also been completed and the decision has been taken to replace all interior drywall on the perimeter and selected interior walls. Included in the scope is Phase 1 - lighting, ceilings, sound systems and Phase 2 - HVAC. Phase 1 is complete. The Phase 2 portion of the work, which involves upgrades to the mechanical systems, is planned to begin in 2024, due to mechanical equipment lead times and supply chain issues.

The existing lighting systems in the MacOdrum Library, Azrieli Pavilion, and HCI/VSIM have been replaced with LED lamps. These three lighting replacement projects brought in approximately \$65,000 in incentives back to Carleton and will result in a significant decrease to our energy consumption. Year 2 of the program is currently under review to strategize other buildings that will see the highest return on investments. Other energy related programs include additional HVAC upgrades, solar studies for buildings and solar canopies over parking lots.

For full details on key performance indicators related to our energy consumption, please refer to our Sustainability Data Supplement.

### 2022 Energy project savings and incentives earned

Project	Savings (kWh)	Demand (kW)	Incentives Earned	Savings
Lighting upgrades	458,809	36	\$64,700	\$55,057
HVAC upgrades	25,760	19	\$6,000	\$3,092
Total	484,569	55	\$70,700	\$58,149



## Sustainable Travel

Carleton’s Comprehensive Sustainability Plan includes encouraging the campus community to travel in a sustainable manner contributing to a low-carbon future. Carleton has faced severe issues with public transport links to and from the campus, including the delayed implementation of the O-Train Line 2, Trillium Line and the continued closure of the Carleton station.

### Program Delivery

Carleton partnered with Bird Canada to provide on-campus e-scooter rentals. In 2022, the pilot program saw 488 rides and 1,014km travelled. The pilot was extended for the 2023 season and promotions included safety awareness and free helmet giveaways to staff, faculty and students.

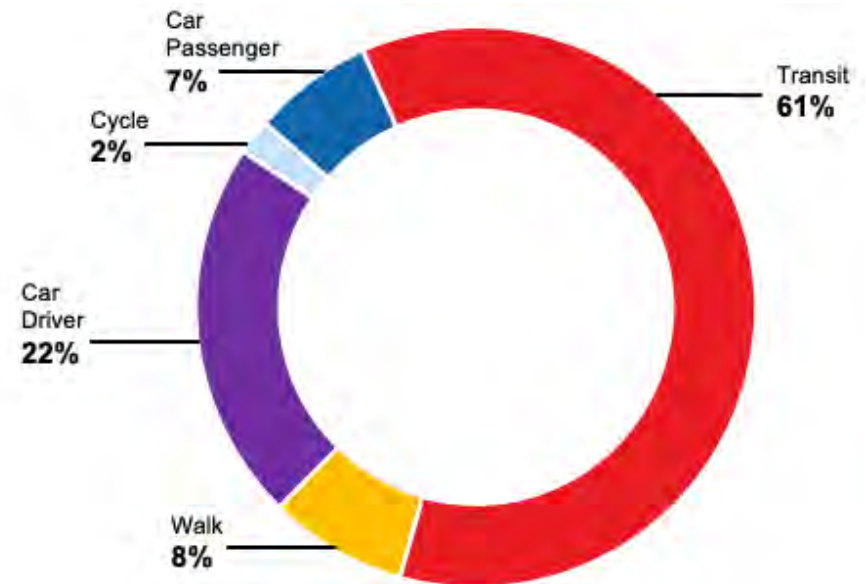
Carleton participated in ‘Let’s Bike Ottawa Month’ with the staff and faculty team, Road Ravens, clocking up 5,487km and averting 1400kg GHG during the month. In addition, bike workshops and bike tune-ups were provided with over 100 staff members having signed up for both.

Carleton continues to promote the campus secure bike parking and continues to review wider cycle parking facilities. A new facility was installed adjacent to Dunton Tower, providing additional secure bike parking on campus.

Carleton’s Flexible Work Arrangements policy went into effect July 2022. This promotes a positive effect on health and wellbeing and reduces commuting needs.

Carleton has a limited fleet with just over 100 vehicles owned. At present 61% of the Carleton fleet is electric and we are committed to electrify our fleet as vehicles need replacing.

### Carleton Commute Modal Split





## Engaging Our Community

Carleton is committed to engaging our community to act on reducing environmental impacts. We seek to empower staff, students and visitors with the tools and resources they need to help Carleton achieve its goals towards becoming a leader in sustainability within higher education.

### Biodiversity

Carleton has installed additional bird-friendly glazing to buildings on campus. With community support this glazing will also become standard for all new buildings, and its use expanded on existing buildings to prevent bird deaths due to collisions. To date, 5 buildings have such glazing. Carleton has also become a signatory of the Nature Positives Universities, which will allow for a review of the natural environment and our engagement towards wildlife on the campus.

### Campus Clean up

Carleton completed bi-annual 'clean-up the campus' events, engaging both staff and students to keeping the campus litter-free.

### Sustainable Dining

Carleton retained Fair Trade Campus designation, which demonstrated promotion and awareness on the campus towards Fair Trade products. This includes a commitment to serving Fairtrade coffee and tea. In addition a revised steering committee was established with student (Engineers Without Borders), staff and faculty involvement.

The university's food service provider, Aramark Dining services, purchased 25% of its food supplies from local and humane food sources in 2022. In addition, Dining services achieved Green Restaurant Certification and 3-Star SPE certification.



### Greening the Workplace

Carleton updated the Green Workplace Certification to include additional categories and updated scoring. There was increased promotion in early 2023 to promote to all departments and individuals.



## Sustainable Investments

Carleton's endowment and pension plan integrates environmental, social and governance (ESG) factors into its investment strategy, while maintaining a focus on returns for employees and pensioners. The approach is based on our belief that long-term value creation requires effective management of environmental and social risks and opportunities, and that good governance leads to better returns.

Managers are expected to consider all material ESG factors and be mindful of the interplay between those factors when analysing investments. While all relevant ESG factors should be considered in investment decision-making, 'climate change' is considered an important strategic priority for the university.

**As per the Responsible Investing policy of the endowment, the following programs have been completed in 2022:**

- Alignment of the PRI principles to fund responsible investing practices.
- Established a fossil fuel free fund to which donors may direct their gifts.
- A carbon footprint was completed on the listed equities of the Endowment (see Data Supplement).
- A 2030 carbon reduction target of 50% and net-zero GHG emissions by 2050 for listed equities was established.
- Continuing to not to hold any direct fossil fuel investments.
- An inaugural Responsible Investing Report was completed for the combined Endowment and Operating Funds.



Note: Responsible Investment (RI) updates are presented in more detail to the Finance Committee.



## Sustainable Procurement

Carleton’s Procurement Policy governs our spending process and focus . It outlines guiding principles to ensure we satisfy Carleton’s objective of obtaining quality goods and services at competitive prices while considering environmental and social responsibility factors .

### Key Programs

Carleton promoted the CUrb program where Carleton-owned goods are given or resold to other departments on campus, to encourage reuse. In the last year, six departments sold or gave away 45 items resulting in a \$27k return of funds and 4,514lbs of wasted diverted.

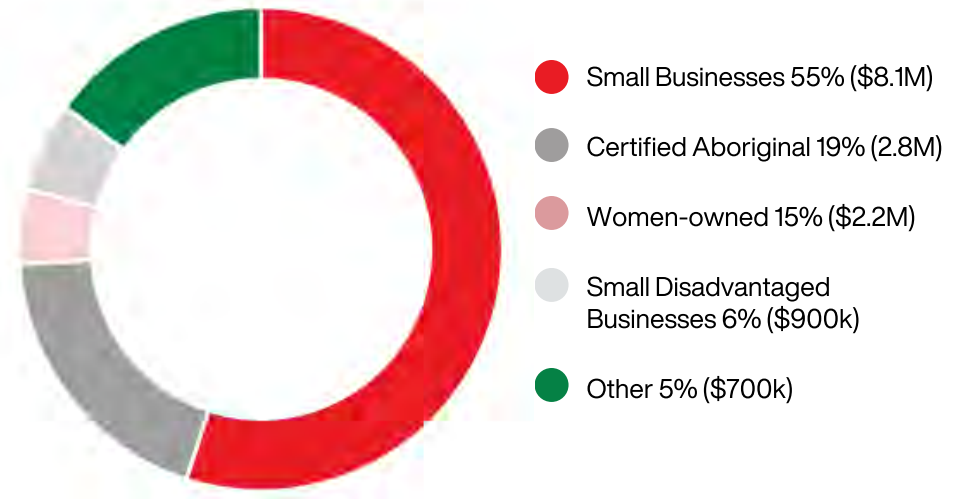
Carleton has promoted and upheld high standards in our policy platforms, including within our Procurement and Sustainability policy. Carleton has also adopted accessible procurement considerations within our policy, formed an Advisory Group (APAG), and launched voluntary disclosure in eShop and resources website.

Carleton has promoted the use of the Employee Purchase Program, to approve in 2022 five loans for employee bicycle and e-bike purchases.

For public RFx: sustainable, accessible, and social criteria were considered on a case-by-case basis. In 2022, 14% of public Request for Proposals included specific requirements or weighted criteria aligned with sustainable principles (not including those still in process on April 30).

### Breakdown of Diverse Spend (2021-22)

The total spend evaluated for diversity was ~\$251M, based on the 2021 and 2022 calendar years (Jan 2021-Dec 2022). The diverse “qualified” spend totaled \$14.7M (or 5.8%). The category breakdown of the 5.8% is as follows:





## Zero Waste

When it comes to waste, Carleton is committed to the three R's: Reduce, Reuse, and Recycle. To achieve our strategic goals, we're taking steps to better understand the sources of waste within our operations, implement solutions to ensure accurate measurement and tracking of waste, and piloting strategies to divert waste from landfill.

**Carleton has set a goal to become a zero waste campus and achieve zero waste for construction.**

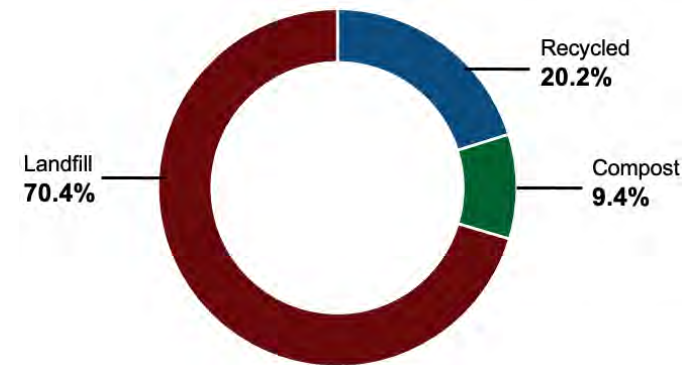
Carleton has completed multiple waste audits across the campus, including ones specific to food operations. These helped to determine the status of ongoing educational programs, specific areas of focus and better information for waste baseline data. Carleton also further increased the number of 4-sorter bins across campus and added additional waste bins outside in strategic locations, such as in front of Nideyinan.

Carleton has re-established specialized waste collections programs for textbook recycling, personal e-waste and batteries, and established a new stream for pen recycling. This provides a wider-recycling profile for our community, allowing more materials to be recycled on campus.

Zero waste programs continue to be in operation at the residence food location, with reusable cutlery and service-ware. Sustainability Carleton has also worked with property services to refine and develop the procedures around the collection of construction waste data. This will better help us to understand the full waste profile and improve overall campus diversion from landfill.

Carleton will also be reporting on blue box material, as required by the new Ontario Blue Box Regulation that started in July 2023.

### 2022 Waste Generated



Disposal Method	Tonnes
<b>Recycled</b>	<b>299.6</b>
- Organics	95.2
- Cardboard	101.3
- Mixed containers	32.8
- Mixed paper	34.4
- Wood	9.1
- Metal	26.8
<b>Landfill</b>	<b>709.5</b>
<b>Total</b>	<b>1,009.1</b>



# Transparency

**In this section:**

Sustainability Plan Progress

Data Supplement



## Sustainability Plan Progress

Sustainability Action	Status	Notes
<b>Leadership</b>		
Zero instances of sustainability and environmental legal non-compliance.		
Achieve a Gold STARS rating by 2021		Completed 2021
Report annually and publicly on the university's sustainability impacts and progress.		Annual reporting to the Board of Governors Building Program Committee
Report annually through global best-practice standards and assessments.		See Commitments, Awards and Recognition
Ensure that community stakeholders are engaged in reporting and decision-making processes.		Annual report published to Sustainability Carleton website



Complete



On track



Planned





Sustainability Action	Status	Notes
<b>Operations – Energy and Emissions</b>		
Meet the objectives and targets identified in the Carleton University Energy Master Plan.		Early deployment of Energy Master Plan
Achieve a 50% reduction in Scope 1 and 2 carbon emissions by 2030, 100% by 2050, (based on a 2005 baseline).		See GHG Emissions slide
Increase the number of renewable or alternative energy projects on campus.		Ongoing review for future consideration
Achieve annual energy (electricity and gas) consumption reductions.		See Energy Consumption slide
Maintain a minimum 4 Green Globe rating (or equivalent external third-party sustainable certification) for all new builds or major renovations.		
<b>Operations - Water</b>		
Achieve annual water consumption reduction (intensity).		Programs identified in the Energy Master Plan
<b>Operations – Zero Waste</b>		
Achieve a zero waste campus (over 90% diversion rate).		Zero waste dining operations
Achieve a zero construction waste campus (over 90% diversion).		Procedure in development and consulting with stakeholders



Sustainability Action	Status	Notes
<b>Operations – Sustainable Travel</b>		
Complete a Sustainable Transportation Strategy for the campus.		Completed
Increase the number of university-owned electric vehicles.		
Establish Active Transportation rates amongst staff, faculty and students.		Utilization of baseline data from City of Ottawa (2014)
<b>Operations - Food Operations</b>		
Increase the percentage of local and sustainably sourced foods purchased through dining operations.		Baseline data completed in 2022
Achieve commitments under the university's Fair Trade Campus designation.		Annual designation renewed in 2022
<b>Community Engagement</b>		
Increase the number of sustainability-themed events on campus to increase awareness.		
Evidence of increased student engagement with organizations working towards sustainability programs.		Social media followers increased to 1,000



## Data Supplement

Indicator	Metric	2020	2021	2022	
Campus Area (m2)	Total Campus Area	485,068	497,731	<b>497,731</b>	
Campus Population	Total number of students, faculty and staff	34,457	33,828	<b>33,828</b>	
Energy Consumption (MWh)	Natural Gas - Buildings	99,407	96,926	<b>112,725</b>	
	Natural Gas - Cogeneration	0	5,931	<b>22,821</b>	
	Electricity	59,341	62,024	<b>67,611</b>	
	Owned fleet gasoline use	n/a	n/a	<b>363.4</b>	
	Owned fleet diesel use	n/a	n/a	<b>278.3</b>	
	Total energy consumption		158,744	164,882	<b>203,798</b>
	Energy Intensity (MWh / m2)	Energy intensity	0.33	0.33	<b>0.41</b>
Onsite Electricity Generation (MWh)	Total onsite electricity generation	0	2,608	<b>10,036</b>	
	% onsite electricity consumption	0	4%	<b>15%</b>	



Indicator	Metric	2020	2021	2022
Direct (Scope 1) GHG Emissions (kt CO2e)	Facilities			
	Natural gas - Buildings	18.3	17.8	<b>20.7</b>
	Natural gas – Cogeneration	0	1.1	<b>4.2</b>
	Fleet			
	Owned fleet diesel use	n/a	n/a	<b>0.29</b>
	Owned fleet gasoline use	n/a	n/a	<b>0.09</b>
Indirect (Scope 2) (kt CO2e)	Electricity - location based	1.8	1.8	<b>1.7</b>
Other Indirect (Scope 3) (kt CO2e)	Category 1: Purchased goods and services	14.6	16.1	<b>17.9</b>
	Category 5: Waste generated in operations	0.0003	0.0003	<b>0.0004</b>
	Category 6: Business travel	0.0	0.1	<b>1.2</b>
	Category 7: Employee commuting	1.9	1.9	<b>1.9</b>
	Category 15: Investments	n/a	n/a	<b>123.0</b>
Total GHG Emissions (kt CO2e)	Total Scope 1	18.3	18.9	<b>25.3</b>
	Total Scope 1 and 2	20.1	20.7	<b>27.0</b>
	Total Scope 3	16.5	18.1	<b>144.0</b>
	Total Scope 1,2 and 3	36.6	38.8	<b>171.0</b>



Indicator	Metric	2020	2021	2022
Water Consumption (cubic metres)	Total water use	265,552	256,668	<b>331,347</b>
Water Intensity (cubic metres/m2)	Water intensity	0.55	0.52	<b>0.67</b>
Waste Generated (metric tons)	Total weight of waste generated	853	908	<b>1,009</b>
	Total weight of waste to landfill	641	680	<b>709</b>
	Total weight of waste composted	86	74	<b>95</b>
	Total weight of waste recycled	126	154	<b>205</b>
	% waste to diverted from landfill	25%	25%	<b>30%</b>
University Vehicles	Total number of university owned vehicles	n/a	n/a	<b>103</b>
	Total number of university owned electric vehicles	n/a	n/a	<b>65</b>
	% of university owned electric vehicles	n/a	n/a	<b>63.1%</b>
Campus Commuting – Modal Split <sup>1</sup>	% by transit	61%	61%	<b>61%</b>
	% by car as driver	22%	22%	<b>22%</b>
	% by car as passenger	7%	7%	<b>7%</b>
	% by cycling	2%	2%	<b>2%</b>
	% by walking	8%	8%	<b>8%</b>

<sup>1</sup>The campus commuting modal split is based on the Special Generators Survey, City of Ottawa, 2014. An update is expected in 2024.

The Sustainability Report 2022-23 will be  
available at [carleton.ca/sustainability](https://carleton.ca/sustainability)



# ArcGIS & Building Information Modelling (BIM) – 3D Visualization

November 2023

# What is GIS and BIM used for?

## **Building Information Modelling (BIM)** for above-ground structures.

*A 3D model-based process that provides architecture, engineering, and construction professionals the insights to efficiently plan, design, construct, and manage buildings.*

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## **Geographic Information Systems (GIS)** for underground infrastructures.

*A system designed to capture, store, analyze, manage, and present spatial or geographic data.*





# Integrating **GIS** and BIM

For a Smarter Campus

# GIS Capabilities



- Bank of Information
- Real-time Monitoring
- Visualization
- Planning and Development

# How does GIS work?

**[Click Here for Video](#)**

*1min & 30 seconds video*

# Strategic Advantages for Carleton University

- GIS for Campus Infrastructure Management

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- Asset Inventory and Mapping

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- Data Integration and Visualization

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- Valve and Chamber Identification

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- Maintenance and Inspection

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- Collaboration and Communication

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- Data Analysis and Planning

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# Opportunities

## Risk

- Utility Protection
- Enhanced Maintenance Scheduling
- Sustainable Campus Environment
- Streamlined Operations

## Cost

- Efficient Design & Reduced Alterations
- Budget-Friendly Construction & Maintenance
- Optimized Operations & Maintenance

## Schedule

- Streamlined Design Process
- Efficient Construction Timeline
- Consistent Operational Flow



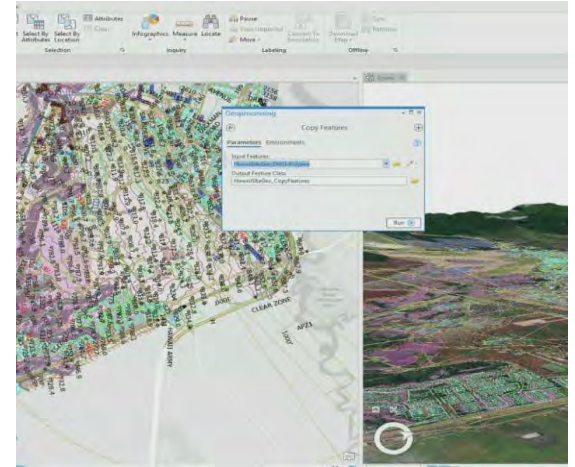
# GIS Implementation Process



**Field Inspection and Precise Mapping**



**Computer-Aided Design (CAD) File Audit and Refinement**

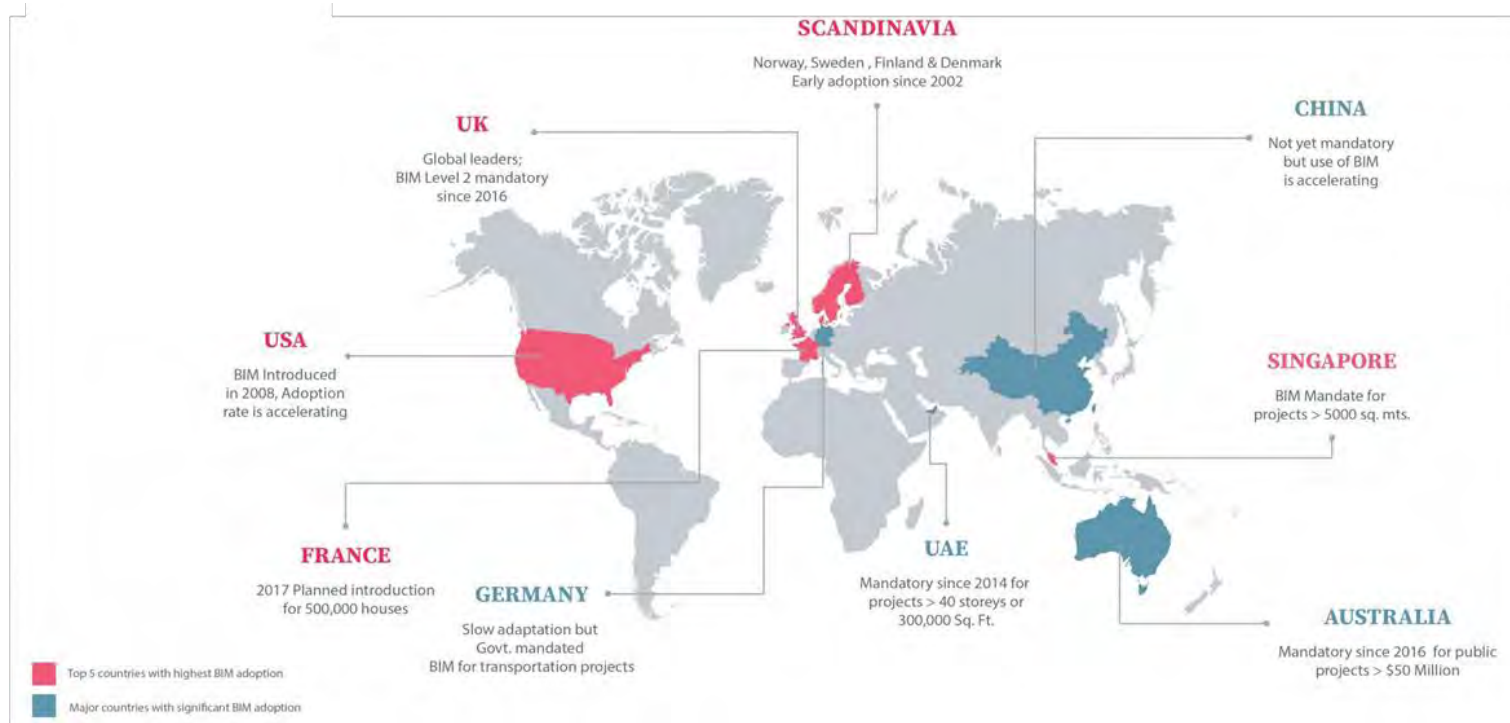


**Computer-Aided (Design CAD) to GIS Conversion & Validation**

# Integrating GIS and **BIM**

For a Smarter Campus

# Leading Countries with BIM



<https://www.united-bimc.com/wp-content/uploads/2020/06/world-map-blog-size-1-2048x-1030.jpg>



# Carleton University's Digital Twin

**[Click Here for Video](#)**

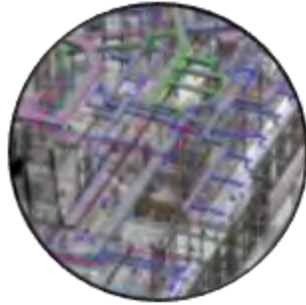
*50 seconds video from Carleton Immersive Media Studio (CIMS)*

# BIM Applications

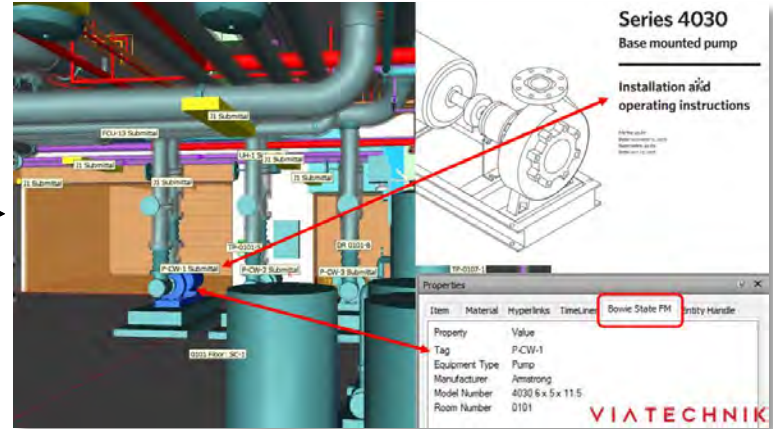
**DESIGN & CONSTRUCTION**

**FACILITIES and MANAGEMENT**

**New Buildings**



**Existing Buildings  
(3D Scan to BIM)**

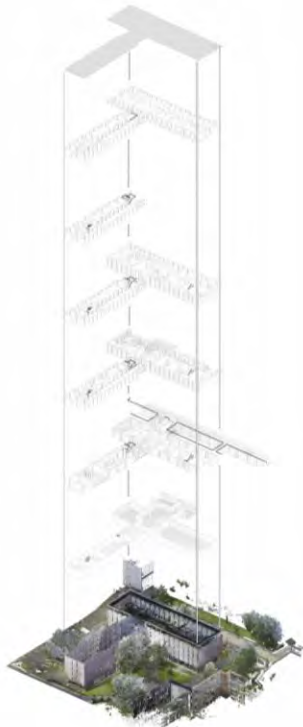


# BIM for New Construction (Canal Building)

[Click Here for Video](#)

*25 seconds video from Carleton Immersive Media Studio (CIMS)*

# Scan to BIM for Existing Structure (Paterson Hall)



*Images of 3d Scan and BIM model of Paterson Hall*

# New Student Residence (2D Visual)



# New Student Residence (3D Visuals)

[Click Here for Video](#)

*35 seconds video from FMP | PDC*

# Benefits of ArcGIS and BIM

- Digitalization of campus building assets and infrastructures
- Preventative maintenance
- Reduce risks by using up-to-date data
- Visualizing data for collective understanding
- Collaborative & multi-disciplinary approach for decision making process during planning
- Improved facility management
- Keeping up with industry standards
- Preparedness for future mandate of digital delivery

<b>To:</b>	Board of Governors	<b>Date of Report:</b> 5 October 2023
<b>From:</b>	Building Program Committee	<b>Date of Meeting:</b> 5 December 2023
<b>Subject:</b>	<b>Ongoing Capital and Deferred Maintenance Projects Status Report</b>	
<b>Responsible Portfolio:</b>	Vice-President (Finance and Administration)	

**1.0 PURPOSE**

For Approval    For Information    For Discussion

**2.0 MOTION**

None.

**3.0 EXECUTIVE SUMMARY**

Projects totaling \$228,308,000 are currently underway with the value of work completed to September 2023 totaling \$94,464,399. Forecasted expenditures will total \$133,843,601.

The following updates are of note since the last meeting of the Building Program Committee:

- Schematic design for Loeb Building exterior envelope remediation and replacement is underway and the draft design report has been submitted.
- Carleton’s Building Information Management Consultant has completed all interior and exterior scanning of Paterson Hall, to create a digital model of the building prior to the renewal.
- Site surveys, geotechnical and environmental studies for the decommissioning and demolition of P9 are underway.
- Tender documents were released for the Teraanga Commons Dining and Kitchen Expansion project.

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

**4.0 INPUT FROM OTHER SOURCES**

The ongoing Capital Projects Status & Capital Renewal (Deferred Maintenance) report is prepared by Facilities Management and Planning (FMP) team.

**5.0 ANALYSIS AND STRATEGIC ALIGNMENT**

Capital Renewal and Deferred Maintenance project investments improve campus space and the built environment to facilitate collaboration, enhance the student experience, and support academic programming to align with the initiatives outlined in the [Strategic Integrated Plan](#):

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

The following provides an update of the major projects and programs currently at various phases of development:



## **Major Capital Projects (chronologically)**

- **New Student Residence**

**Start Date:** February 2022 **Occupancy:** April 2025

The New Student Residence project was originally scheduled for construction in 2020 but was placed on hold due to challenges presented by the pandemic. The project was re-started and is being delivered using construction management. All tenders have closed and the majority have been awarded.

Excavation, removal of existing services, installation of new sanitary and storm lines, watermains, hydro duct banks, and all ground improvements are complete. Construction is ongoing with the Level #7 suspended slab being poured. Trades on site include: rebar, formwork, mechanical, electrical and plumbing. Facilities Management and Planning (FMP) continues to work with the Construction Manager and the Design Team for pull planning activities to save time, resources and money. Occupancy is on schedule for April 2025.

- **Regional Aquatics Centre and Wellness Hub**

**Design Start:** September 2019 **Schematic Design Completed:** December 2021

On hold, pending the outcome with City of Ottawa **Completion date:** TBD.

**\*Update:** The Wellness Hub is a 230,000gsf (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 space and community gathering spaces. FMP is waiting on City of Ottawa requirements to obtain updated costing on the project to reflect current pricing, and for the costs to complete the Aquatics and fitness portion separately from the Wellness Hub.

- **Loeb Building Envelope Remediation and Replacement**

**Start Date:** January 2022 **Completion:** 2027

**\*Update:** A Building Condition Assessment has been completed and submitted to FMP. A project committee has been formed to oversee the lifecycle of the project.

Phase 1 of the project, which provided repairs to the interior stairs and exterior guardrails, is complete. Phase 2 of the project which addresses the deficiencies with the building envelope is in the Schematic Design Phase stage, which involves reviewing and finalizing the recommended option and materials. The final schematic design report is due December 2023.

- **Paterson Hall Building Upgrades**

**Start Date:** January 2022 **Completion:** 2028

Phase 1 of the project, which addressed immediate repairs to the podium and quiet room, is complete.

**\*Update:** Phase 2: Anticipated contract award to the successful Prime Consultant Team is expected fall 2023. In parallel, Carleton's Building Information Management Consultant has completed all interior and exterior scanning, to create a digital model of the building. The primary project objective continues to focus on the replacement of building mechanical/electrical systems, building envelope, as well as assess the possibility of Paterson Hall becoming a Central Chiller Plant that would feed the adjacent buildings. The successful consultant team is responsible to provide three (3) concepts designs and class D cost estimates, scheduled to be delivered end of February 2024. Carleton's review and approval of the concept design(s) will lead to schematic design and subsequent execution for the remaining phases.

- **Parking Garage (P9) Demolition**

**Start Date:** July 2023 **Project Completion:** October 2024

**\*Update:** The prime consultant is currently in the process of completing a separate design and tender package for a new fibre pathway for the relocation of fiber optic cabling which currently runs within the existing footprint of the P9 Parking Garage. The new pathway is targeted to be completed prior to winter 2023, in advance of demolition in the spring 2024. Due to the unique nature of the project and expertise required, FMP is working with the consultant and Procurement Services to create a prequalified contractor

list for the demolition contractor. The prime consultant will complete the demolition plan by January 2024, with the demolition contract to be awarded in March 2024. Demolition is scheduled to begin May 2024

- **Teraanga Commons Dining Hall Expansion**

**Construction Start Date:** November 2023 **Project Completion:** October 2024

**\*Update:** An expansion to the dining hall in Teraanga Commons is required to accommodate the projected increase in the number of students housed on campus. Project design has been completed by the prime consultant, with award to the successful general contractor in November 2023. Construction of Phase 1 (existing Teraanga expansion) is scheduled to begin November 2023 and be completed in February of 2024. Subsequent phases 2 and 3 will follow with a scheduled construction completion date of mid-August 2024.

### **Capital Renewal/Deferred Maintenance Projects (alphabetical order) 2023/2024**

- **Elevator Modernization – Condition Assessments**

**Start Date:** August 2023 **Completion Date:** TBD

**\*Update:** Elevator condition reports for Southam Hall elevator #1, Social Sciences Research Building elevator #1, and MacOdrum Library elevator #1A, and #1B have been received. Based on elevator condition, usage, and operations and maintenance feedback, priority #1 for replacement will be Southam Hall elevator #1. Further investigation is being carried out to review improved accessibility options.

- **Lighting Replacement Program – Year 2**

**Start Date:** May 2023 **Completion Date:** April 2024

**\*Update:** April to June 2023, lighting audits were completed in several academic buildings to replace the current lighting with LED lights. FMP has added Richcraft Hall to the 2023-2024 prioritized buildings, in addition to St. Patrick's and Loeb buildings. The lighting replacement projects will complement the upcoming HVAC upgrades and building envelope projects in the buildings, and in return will result in energy savings and reduce greenhouse gas emissions. The lighting replacement program supports Carleton's goals as outlined in its [Energy Master Plan](#) and [Sustainability Plan](#)

- **MacOdrum Library Cooling Tower Replacement**

**Start Date:** August 2022 **Completion Date:** April 2024

Replacement of the roof-mounted cooling tower that services the library is required. Included as part of the project is improved access platforms for maintenance servicing. The work has been awarded to a mechanical contractor, and the existing unit will continue to be in place until the replacement occurs in fall 2023, when the existing cooling tower can be switched off. Site preparation for the new cooling tower is underway. The unit will be commissioned in April 2024 to allow testing under normal operating conditions.

- **Main Quad East Stair Rehabilitation and Tunnel Improvements**

**Start Date:** April 2023 **Completion Date:** Fall 2024

The east main quad stairway requires critical structural repairs. The tunnel immediately below the stairway area shows signs of waterproofing failure and requires full-depth ceiling reinstatement, complete with additional electrical/mechanical upgrades and landscaping reinstatement. FMP has engaged the services of a multidisciplinary design team for design and engineering services, and the project is currently in the design phase. The planned construction start date for the project is March 2024, weather depending.

- **Minto C.A.S.E Curtain Wall Replacement – Feasibility Study**

**Start Date:** May 2023 **Construction Completion Date:** TBD

**\*Update:** Feasibility report was received by FMP which presented options to repair or replace the curtain wall that is leaking. Upon analysis of the report and costing, FMP is proceeding with the repair option instead of the replacement option.

- **Roof Replacement Program 2023-2024**

**Start Date:** May 2023 **Construction Completion Date:** Fall 2023

**\*Update:** The 2023-2024 Roof Replacement Program includes Azrieli Pavilion and Theatre, Tory Building, Tory Building/Nideyinàn building link and Visualization and Simulation Building (VSIM). All the roof replacements are complete, with the exception of VSIM, which will be completed in the fall. Planning has started within FMP for the buildings to be included in the 2024-2025 roof replacement program with focus on Herzberg, HCI, and Nesbitt Building.

- **Southam Hall HVAC Upgrades**

**Start Date:** July 2023 **Construction Completion Date:** TBD

**\*Update:** Project scope includes the replacement of the supply and return air fans for the existing air handling unit located in Southam Hall. The fans being replaced are approximately 50 years old, and are past life expectancy. A mechanical/electrical engineering firm has been engaged and design is underway.

- **Tory Building Theatre Enhancements**

**Start Date:** June 2023 **Completion Date:** TBD

**\*Update:** Project involves seating replacement, lighting upgrades, and a refresh of paint and aesthetics of the space. An architectural firm has been retained to review accessibility options and maximize the number of seats for the theatre.

- **Tory Building Cooling System Upgrades/ Replacement**

**Start Date:** July 2023 **Completion Date:** TBD

**\*Update:** Upgrade of the cooling system centralized within the Tory Building. This chiller provides cooling for the following buildings; Tory Building, Nideyinàn, Architecture Building, Azrieli Pavilion and Azrieli Theatre. The goal of the project is to lower Green House Gas (GHG) emissions, improve energy efficiency, and reduce operations maintenance repairs and resources.

FMP has engaged the services of an engineer to complete a feasibility study and present options to the project team. The engineering team is currently analyzing data provided by FMP and the design options report is due in November.

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

- **Bronson Substation Replacement Feasibility and Design**

**Design Start:** August 2023 **Completion:** TBD

The Bronson Substation #1 switchgear has passed the end of its expected service life and various components are reaching obsolescence, if not already obsolete, with replacement parts becoming or already being unavailable from manufacturers. The feasibility study was completed and the project will move forward in phases over two fiscal years. The project is being phased in order to reduce the impact on the Carleton community.

- **Campus Perimeter Security Upgrades**

**Design Start:** March 2022 **Construction Completion:** Group 1 – Spring 2024

**\*Update:** As the principal output, this program of work will enhance perimeter security throughout campus by implementing upgrades and/or replacement of doors and frames, as well as the installation of card access and security cameras. Three buildings (Group 1) have been awarded for construction: Herzberg Building, Azrieli Pavilion, and Dunton Tower. The Dunton Tower work also includes full replacement of the second-level curtain wall, and modifying the tunnel entrance ramp to improve accessibility. The installation of the electrical infrastructure for card access and automated security at Herzberg has been completed. The project is awaiting the delivery of doors and frames for replacement. At Dunton Tower, the concrete work for the tunnel level ramp has been completed in

advance of the replacement of the tunnel entrance door and frame later in fall 2023, before moving to the remaining access locations and second-level curtain wall. Electrical infrastructure installation at Azrieli Pavilion took place in October. The next buildings planned for implementation are the Steacie Building, Azrieli Theatre and Southam Hall

- **Campus Sanitary Sewer/Storm Sewer/Watermain Infrastructure**

**Start Date:** November 2022 **Project Completion:** Fall 2023

**\*Update:** This project is comprised of two components. The first, a trenchless sewer lining and maintenance access rehabilitation project, achieved substantial completion in July, and all deficiencies have been completed. The second, the rehabilitation of sewer and watermain structures (replacement of faulty valves) and final water shutdowns occurred in August. The project will be completely closed out in fall 2023. These two initiatives have significantly improved the condition of Carleton's sewer and watermain infrastructure.

The next project as part of the program is the replacement of the approximately 50-year-old watermains on Campus Avenue, which involves replacement and consolidation of the existing watermains, with a single new 406mm diameter watermain to improve reliability.

- **Central Heating Plant Generator Replacement**

**Start Date:** October 2021 **Construction Completion:** TBD based on Enbridge's review

**\*Update:** The new generator has been fully installed, but not yet connected to the building panel.

There was a deficiency found in the gas pipe configuration that requires to be addressed before Enbridge gives their approval on using the generator, which has delayed commissioning of the unit. The exhaust pipe has been removed safely.

- **Dunton Tower Fire Alarm and Smoke Control Modifications Start**

**Date:** July 2022 **Construction Completion:** December 2023

**\*Update:** The purpose of this project is to enhance the fire alarm and ventilation systems to improve smoke management in the stairwells. The project is 95% complete, with a revised completion date of December 2023 due to a deficiency identified in the commissioning process.

- **High-Voltage Condition Assessment and Five-Year Renewal Plan**

**Start Date:** February 2022 **Completion:** TBD

A consultant 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 was 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. Testing and maintenance activities are planned to re-start in fall 2023. The consultant is currently in the design phase for the concrete replacement that contains the high voltage bus duct in the tunnels near Teraanga Commons, and for the Nideyinàn substation replacement.

- **Indigenous Learning Place**

**Re-Start Date:** TBD **Completion Date:** TBD

**\*Update:** Project is on hold until notification if Carleton was a successful recipient of funding in its application for the Training, Equipment, and Renewal Fund (TERF) Grant.

**Paterson Hall Quad Area Infrastructure Improvements**

**Start Date:** August 2022 **Project Completion Date:** October 2023

**\*Update:** This project includes demolition of stair structure, retaining walls, seating, and walkways, as required, to remove and relocate infrastructure. Excavation and removals for tunnel repairs and waterproofing are included in this project, as well as the removal and relocation of storm, sewer, watermains, water lines, catch basins and sewer covers.

The project reached substantial completion in July, and the area was hydroseeded. The last deficiencies of the project were completed in October. This project addressed the required infrastructure upgrades required prior to the Indigenous Learning Place being constructed.

- **Premise Isolation on Incoming Water**

**Start Date:** February 2021 **Construction Completion:** Fall 2023

**\*Update:** The Premise Isolation on Incoming Water Project entails upgrading and modifying the watermain entry connection (domestic and sprinkler system) with specific types of Backflow Preventers (BFP) for the older buildings across campus in order to conform to the City of Ottawa's Water By-law to protect drinking water quality. The majority of the identified 41 buildings have been completed. FMP's Maintenance Services team will take over the required annual inspection services required by the City of Ottawa. FMP has been in communication with building authorities and occupants on the scheduling of the remaining buildings (Tory Building and Nesbitt) and upon completion, will close out the project.

- **St. Patrick's Building Art Gallery - HVAC Upgrades**

**Start Date:** Summer 2023 **Construction Completion:** Winter 2024

This project involves upgrades to the mechanical systems with replacement of the air handling unit, boilers, humidifiers and chillers. A mechanical contractor was awarded the contract in summer 2023, with construction scheduled for 2024 due to mechanical equipment lead times and supply chain issues. The replacement of the mechanical equipment will result in building performance improvements, and allow maintenance and operations the ability to maintain the proper humidity levels that the Art Gallery requires to operate.

- **Tunnel and Campus Ventilation Upgrades**

**Start Date:** January 2022 **Construction Completion:** Tunnel - June 2022, Buildings – Fall 2023

The tunnel ventilation project is complete and the tunnels reopened in June 2022 to all members of our community with new exhaust fans and air handling units installed throughout the entire tunnel system. The work in Andrew Fleck Childcare and Loeb building are complete. Deficiency ductwork for Mackenzie building will be completed in fall 2023, and the project will close after this is complete.

## **6.0 FINANCIAL IMPLICATIONS**

The pandemic's impact on pricing, supply chain and resource issues continues to affect project budgets and schedule. Contractors are including greater contingencies in their pricing to deal with the volatile market, which has resulted in increased tender bids and project costs. As a result, Carleton and FMP must allow for greater project contingencies and continue to collaborate with our partners to prepare for the potential challenges. FMP and project stakeholders will identify collaborative mitigation strategies to determine the most effective project delivery methods. Price escalation allowances are being included in cost estimates for projects that will not be tendered immediately, and in multi-year projects, to account for cost increases over time. Now that the campus is back to in-person learning, some projects may require after-hours work, or a phased approach to minimize occupant disruption, which may result in higher construction costs.

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

Risks that our construction projects are facing include schedule delays, construction cost increases and inflation, supply chain issues, resource and trade availability, and unknown site conditions. 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. Early funding approvals, tendering projects early in the year prior to the busy summer construction period, proper contracts and construction delivery model, ensuring proper contingencies, as well as risk planning helps to mitigate these risks. Completing intrusive testing and inspections prior to construction helps mitigate the risks related to unknown site conditions. The university also mitigates its hazard and liability risk by providing an owner-controlled construction insurance program depending on the size of the project, and by including performance, labour and material bonds as a tender requirement.

## 8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

The new capital projects and capital renewal deferred maintenance initiatives will play a role in attracting and retaining students, faculty, employees, and the community to the university, thus contributing 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 negative 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 effectively as possible. As increasing numbers of students, faculty, and staff are back on campus, there is greater need for planning and communication strategies.

Ongoing communications with the campus community and key stakeholders is part of project management oversight. FMP continues to have the support of Carleton's communications professional staff.

## 9.0 OVERALL RISK MANAGEMENT ANALYSIS

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

**Carleton University  
Major Capital Projects  
Reporting at November 2023**

<b>Project</b>	<b>Budget</b>	<b>Work Completed to Sept 29/23</b>	<b>Anticipated Expenditures to Come</b>	<b>(Over) Under Budget</b>
Capital Renewal 2019/20	14,000,000	11,262,912	2,737,088	0
Capital Renewal 2020/21	14,000,000	11,822,338	2,177,662	0
Capital Renewal 2021/22	14,000,000	11,118,842	2,881,158	0
Capital Renewal 2022/23	14,000,000	6,006,744	7,993,256	0
Capital Renewal 2023/24	14,000,000	967,116	13,032,884	0
Engineering Design Centre (ME Addition)	18,394,000	18,388,651	5,349	0
New Residence	106,000,000	24,737,245	81,262,755	0
Aquatics Centre and Wellness Hub - Concept Design	884,500	863,624	20,876	0
TC - Dining Hall Expansion	8,500,000	363,446	8,136,554	0
P9 - Decommissioning P9 Garage	5,000,000	-	5,000,000	0
LA- Envelope Remediation and Replacement	4,380,000	241,860	4,138,140	0
Transportation Fund	10,000,000	6,754,084	3,245,916	0
Facilities Renewal Program 23/24	5,149,500	1,937,537	3,211,963	0
<b>TOTAL</b>	<b>228,308,000</b>	<b>94,464,399</b>	<b>133,843,601</b>	<b>-</b>





<b>To:</b>	Finance Committee	<b>Date of Report:</b> 17 October 2023
<b>From:</b>	Associate Vice-President (Financial Services)	<b>Date of Meeting:</b> 16 November 2023
<b>Subject:</b>	<b>Update on the 2023/24 Operating Budget</b>	
<b>Responsible Portfolio:</b>	Vice-President (Finance and Administration)	

**1.0 PURPOSE**

For Approval    For Information    For Discussion

**2.0 MOTION**

None

**3.0 EXECUTIVE SUMMARY**

This 2023-2024 operating budget update is provided to the Finance Committee to highlight changes in the operating environment that could have a material impact on the ability of the university to achieve its financial goals.

**4.0 INPUT FROM OTHER SOURCES**

The update is developed with tuition and grant information provided by the Office of Institutional Research and Planning (OIRP), and in consultation with units such as Facilities Management and Planning (FMP) and Student Awards on key expenditure items.

**5.0 ANALYSIS AND STRATEGIC ALIGNMENT**

The review of key elements in the operating budget, as of the end of September 2023, indicate that a balanced budget will be achieved. While there are no significant variances anticipated at this time, management is monitoring several elements closely as we are still early in the academic year:

- Overall tuition revenue is estimated to be slightly below the original budget by \$0.5 million. Combined undergraduate and graduate international tuition is estimated to be \$9.1 million below budget. However, this is mostly offset by the expectation that domestic undergraduate and graduate tuition will exceed budget by \$7.1 million and the fact that summer tuition was \$1.5 million higher than budget.
- There are no anticipated changes to grant income.
- While interest rates remain high and there is a potential for investment income to exceed budget expectations, our short-term investments also include equity investments which are subject to market fluctuations. As a result, we will remain conservative with our investment income projections at this time and assume they will not vary significantly from budget.
- We continue to monitor our central university budgets closely and are expecting a small (\$0.8 million) negative variance against budgeted costs. This cost escalation is the result of a necessary fire maintenance project exceeding allocated budget, a slight increase in utility costs, and an additional reserve for student bad debts. Given world events, there may be impacts on international students' ability to move money out of their home country and meet student fee commitments.
- As enrolment is not growing at the planned rate, the Enrolment-Linked Budget Allocation (ELBA) is unlikely to be fully distributed and \$1.3 million included in contingencies will likely represent a savings to the university.

## 6.0 FINANCIAL IMPLICATIONS

As operating grants have been capped, and domestic tuition fees remain frozen after a 10% decrease in 2019-2020, meeting enrolment targets is key to our financial sustainability. While the university is likely able to meet overall revenue targets this fiscal year, management of key expenditures remains a critical objective for university management. The university has ample reserves to address any short-term effects of dips in enrolment and continues to employ a five-year planning framework to ensure financial stability over the longer term.

## 7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT

The latest financial projection for the operating budget indicates that the university should meet its balanced budget target for 2023-2024, thereby reducing financial risks for the university as a whole. Carleton's conservative approach to finances and budgeting are a key risk mitigation measure that allows the university to maintain its long-term operations and weather shorter-term financial risk or events.

## 8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

None identified

## 9.0 OVERALL RISK MANAGEMENT ANALYSIS

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

# Operating Budget Update 2023-2024

## Finance Committee

November 16, 2023

# 2023-2024 Operating Budget Update

- At this time, only minor variances anticipated
- Tuition revenue expected to be slightly below budget
- No changes anticipated in grant or investment income
- Minor negative variances in some university budgets
- Savings expected in contingency budgets

# 2023-2024 Operating Budget Update

Variance to budget	\$M
Tuition revenue	(\$ 0.5)
Utility & fire maintenance costs	(\$ 0.5)
Bad debt	(\$ 0.3)
Contingency savings	\$ 1.3
Total variance from budget	-

<b>To:</b>	Finance Committee	<b>Date of Report:</b> 18 October 2023
<b>From:</b>	Vice-President (Students and Enrolment)	<b>Date of Meeting:</b> 16 November 2023
<b>Subject:</b>	<b>2023-2024 Ancillary Services Budget Update</b>	
<b>Responsible Portfolio:</b>	Vice-President (Students and Enrolment)	

**1.0 PURPOSE**

For Approval  For Information  For Discussion

**2.0 MOTION**

None

**3.0 EXECUTIVE SUMMARY**

Carleton University’s ancillary services play an essential role in supporting the campus community through a wide range of activities, enhancing the overall student experience. The COVID-19 pandemic placed significant financial pressure on the university ancillary operations. With the exceptions of Parking Services, The Printshop and The Bookstore ancillary revenues have returned to pre-pandemic levels and the majority of pandemic related deficits have been eliminated. An overview of the key financial drivers for the consolidated ancillary services projected 2023-24 financial results has been prepared.

For 2023-24 it is anticipated that the university’s ancillary units will meet their budget expectations.

**4.0 INPUT FROM OTHER SOURCES**

Ancillary services senior managers were asked in October of 2023 to review overall activity and demand for services for fiscal 2024. Based on current indicators, it is assumed that no revisions to budget assumptions are required at this time and that financial performance is on track to meet budget expectations.

**5.0 ANALYSIS AND STRATEGIC ALIGNMENT**

For 2023-24, the overall financial performance of ancillary services should meet budgeted expectations.

Due to demand from upper year students, 106 double rooms were converted to single rooms resulting in a projected decrease in fall/winter residence fees. However, this decrease was partially compensated by stronger than budgeted summer residence revenues. It is anticipated that Housing and Residence will be able to offset the majority of the remaining revenue decrease by strategically reducing costs. Reduced residence occupancy will have a small impact on meal plan sales and commission revenue. This reduction can be absorbed by the Dining Services operations.

Physical Recreation and Athletics programs and facility rentals continue to be strong post Covid and most are expected to be at capacity.

Parking Services is forecasting a small surplus, which will contribute to reducing their accumulated deficit. The completion of phase 2 of P7 has added 500 additional spots and has helped with the demand for more parking capacity.

Health and Counselling Services is on track to meet budgetary expectations however in response to increased demand for mental health services they are adding resources potentially leading to higher salary costs. This increase can be covered by their accumulated surplus.

Spending on major capital projects is expected to be on budget however, some projects in Dining Services and Nideyinàn have been delayed until 2024-25 to allow for further evaluation of planning priorities. Deferred maintenance continues to be a concern for ancillary units and facilities condition assessments have been

performed in the university's largest ancillary units. A summary report on deferred maintenance costs will be presented in the 2024-25 budget cycle.

**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. At this time, it is expected that ancillaries will retain an accumulated surplus of approximately \$39.5 at the end of 2023-24. In addition, only three ancillary units, Parking Services, The Bookstore 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**

During 2022-23, the university's largest ancillary units returned to pre-pandemic levels and it is anticipated that in 2023-24 the ancillary units will have a combined annual surplus of \$3.7M increasing the accumulated surplus to close to the pre-pandemic level. This return to surplus will allow the ancillary units to bare any short-term financial risks or events. Ensuring the Ancillary units operate in a financial prudent manner is key to ensuring the future viability of the units and to them being able to make necessary investments and capital improvements to support the student experience.

**8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY**

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

**9.0 OVERALL RISK MANAGEMENT ANALYSIS**

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

# **Ancillary Services Budget Update 2023-24**

## **Finance Committee**

November 16, 2023



# 2023-24 Ancillary Services Budget Update

- In 2022-23, ancillary units revenue returned to pre-pandemic levels
- For 2023-24, ancillary results are on-track to meet budget
- Due to conversion of double to singles, Housing expecting decreased revenues
- Dining meal plan commissions impacted by reduced residence beds
- Athletics continues to meet budget expectations post-pandemic
- Parking continues to be challenged with meeting demand
- High demand for mental health services

# Consolidated Results & Projections

	2022-23 Final (\$000's)	2023-24 Budget (\$000's)	2023-2024 Projection (\$000's)
Revenue	67,578	72,474	71,094
Expenses	42,355	48,902	48,157
Operating surplus (deficit)	25,223	23,572	22,937
Renovations & capital debt	15,799	21,826	19,380
Transfer from capital reserve	3,287	127	127
Year-end surplus (deficit)	12,711	1,873	3,684
Accumulated surplus (deficit)	35,782	37,655	39,466

# Summation & Next Steps

- Overall, ancillaries are on track for a strong year
- Monitoring smaller ancillaries
- Deferred maintenance 5-year plan to be included in budget
- Presentation of budgets at February Finance Committee

<b>To:</b>	Finance Committee	<b>Date of Report:</b> 6 October 2023
<b>From:</b>	Executive Director, Pension Fund Management	<b>Date of Meeting:</b> 16 November 2023
<b>Subject:</b>	<b>Pension Plan Report</b>	
<b>Responsible Portfolio:</b>	Vice-President (Finance and Administration)	

**1.0 PURPOSE**

For Approval    For Information    For Discussion

**2.0 MOTION**

None

**3.0 EXECUTIVE SUMMARY**

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

Each of the following areas are addressed in Section 5.0.

- Governance of the Plan
- Regulatory Environment
- Financial Position of the Plan
- Investment of the Fund
- Performance of the Fund

Of particular note in the 2022-2023 Retirement Plan year:

- The Fund’s fiscal year net return was 11.8 per cent as of June 30, 2023. The public equity allocation benefited from strong year-to-date returns buoyed by artificial intelligence theme to strong performance in large-cap tech stocks.
- The higher interest rate environment has been beneficial to how the liabilities of the Plan are calculated for funding ratios.
- An Assistant Director was hired in February 2023 to support the investment function of the Office of Pension Fund Management.
- The Pension Committee selected two real estate managers for the first allocation to this new asset class.

**4.0 INPUT FROM OTHER SOURCES**

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

**5.0 ANALYSIS AND STRATEGIC ALIGNMENT**

**1. Governance of the Plan**

The Pension Benefits Act (Ontario) requires the Plan to have a Sponsor and an Administrator. Carleton University fills both these roles. The university, as Administrator, has delegated responsibility for administering the Plan to the Pension Committee, per Section 15 of the Retirement Plan text. All matters regarding the administration of the Plan, including plan design changes and hiring or firing of investment managers, are the responsibility of the Pension Committee. Recommendations of the Pension Committee must be approved by the Finance Committee and Board of Governors. Items not approved are referred back to the Pension Committee.

## Asset Mix June 30, 2023

Asset Class	% of Total Fund			Investment Managers
	Policy	Range %	Actual	
Canadian equities	25	15-35	25.4	PH&N; MFS; FGP
Canadian fixed income	20	10-30	21.4	PH&N, MFS
Global large-cap equity	25	15-35	26.7	Alliance Bernstein, MFS
Emerging market equity	5	2-8	4.2	William Blair
Global small cap equity	5	2-8	6.1	Brandes
US high-yield debt	5	2-8	4.2	Mackay Shields
Infrastructure (LPs)	15	5-20	12.0	4 Limited Partnerships
	100		100	

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

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

## 2. Regulatory Environment

There have been no significant regulatory changes in the current plan year.

**Solvency (*hypothetical windup*) funding requirements.** Solvency valuations must still be filed but solvency special payments are required only when the funded status falls below 85 per cent. (The funded status is the ratio of assets in a pension fund to the liabilities for accrued pension benefits.) The Plan is above this threshold.

**Going-concern funding rules.** Going-concern deficits must be amortized over 10 years. In addition, a “Provision for Adverse Deviations” (PfAD) must be calculated and fully funded. The purpose of the PfAD is to provide a cushion against market volatility, thereby making benefits more secure. The PfAD for Carleton is 10 per cent of actuarial liabilities. It is estimated that the going-concern position of the Plan is fully funded at this point.

## 3. Financial Position of the Plan

The funding valuation of the Plan was completed as at June 30, 2022 and filed with FSRA and the CRA in March 2023. Our third-party actuary completed an unofficial update as at June 30, 2023 for the Pension Committee to be aware of the funding ratio in between the official triennial actuarial valuation. As of June 30, 2023, the Going-Concern ratio was 104 per cent and Solvency Ratio is a robust 119 per cent. This means the Plan continues to be fully funded and we are two years away from the next official actuarial valuation.

## 4. Investments of the Fund

The market value of the Fund as at June 30, 2023 was \$1.6 billion. External investment managers are retained to manage the Fund. A Statement of Investment Policies and Procedures sets out the parameters for investing the Fund. The policy and actual asset mixes as at June 30, 2023 were:

## 5. Performance of the Fund

The long-term investment objective for the Fund, as set out in the Statement of Investment Policies and Procedures, is to outperform the Benchmark Portfolio by 100bps (1.0%) gross of fees and to deliver a performance in excess of 6 per cent so that there can be increases to annual payments for our retirees. Fees are approximately 48bps (0.48%).

Carleton University Retirement Fund  
Performance as at June 30, 2023

	<u>1 Year</u>	<u>2 years</u>	<u>4 years</u>	<u>10 years</u>
Total Return (net), %	11.8	2.3	6.7	8.2
Benchmark	11.1	1.6	6.5	7.7
Value added above benchmark	0.7	0.7	0.2	0.5

\*Time-Weighted Returns.

## 6.0 FINANCIAL IMPLICATIONS

The Plan's strong financial position is good news. However, the Plan will remain subject to risks on an ongoing basis that may result in deficits and increased contributions. The interest rate and capital market returns are subject to future volatility and could be challenging in the coming years. Although exogenous factors are outside our control, the Pension Committee takes steps to mitigate their impact including monitoring and reviewing scenario analysis, asset mix decisions, and investment manager performance. There is also a pension reserve held by the university in case of adverse volatility between now and the next actuarial valuation.

The financial position of the Plan assessed unofficially as at June 30, 2023 showed a fully funded Plan. The next official actuarial valuation for funding purposes is to be completed on June 30, 2025.

## 7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT

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

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

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

## 8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

There is no reputational implication that requires a communications strategy

## 9.0 OVERALL RISK MANAGEMENT ANALYSIS

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

# Pension Plan Report

November 2023



# Governance of the Plan

- The Pension Benefits Act (Ontario) requires the Carleton University Retirement Plan (the Plan) to have a Sponsor and Administrator.
- Carleton University fills both these roles.
- The university, as Administrator, delegates responsibility for administering the Plan to the Pension Committee. (Section 15 of Retirement Plan text)
- The eight-person Pension Committee consists of five members elected by Plan members, a Board of Governors appointee and two ex-officio members - Executive Director, Pension Fund Management, and Associate Vice-President of Human Resources (or delegate).
- Recommendations from the Pension Committee are submitted to the Finance Committee for review and are subject to the approval of the Board of Governors.
- All parties have a fiduciary duty to act with the highest standard of care and in the best interests of all Plan members.

# Regulatory Environment

- Triennial actuarial valuation reports are submitted to the Financial Services Regulatory Authority of Ontario (FSRA) to ensure compliance with the Pension Benefits Act (PBA).
- FSRA also ensures pension contributions are made in accordance with regulations.

## Solvency funding rules

- A solvency ratio assumes the plan is wound up immediately. Referenced government bond yields are used as a discount rate to assess the health of the plan.
- Ontario regulation is more focused on going-concern funding ratios.
- Solvency valuations must still be filed but solvency special payments are only required when funded status falls below 85 per cent.

## Going-concern funding rules

- A going-concern ratio assumes the plan is operated in perpetuity and the discount rate is formulated based on the expected return on assets.
- Deficits must be amortized over 10 years.
- In addition, a Provision for Adverse Deviations (PfAD) must be calculated and fully funded. The PfAD provides a cushion against market volatility, thereby making benefits more secure.
- Carleton's PfAD is 10 per cent of actuarial liabilities.

# Financial Position of the Plan

- Last funding valuation was completed as at June 30, 2022 and was filed with FSRA and the CRA.
- Our third-party actuary completed an unofficial update as at June 30, 2023 for the Pension Committee to be aware of the funding ratio in between the official triennial actuarial valuation.

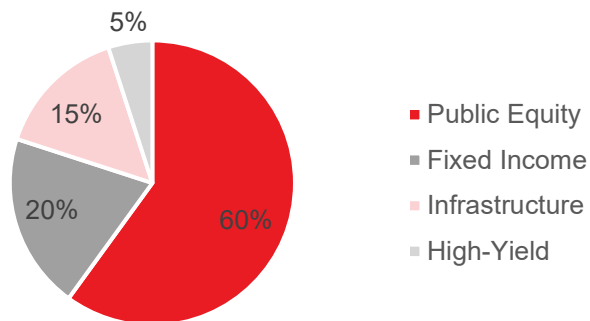
Funding Ratio	June 30, 2022	June 30, 2023
Going-Concern Ratio	106% / \$51M	104% / \$39M
Solvency Ratio	108% / \$71M	119% / \$154M

# Performance of the Plan

As of June 30, 2023	1 Year	2 Year	4 Year	10 Year
Total Return (net)	11.8%	2.3%	6.7%	8.2%
Benchmark	11.1%	1.6%	6.5%	7.7%
Value Add	0.7%	0.7%	0.2%	0.5%

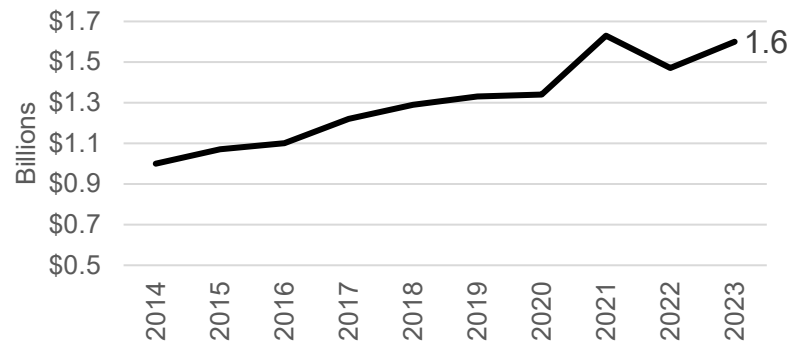
\*The gross-to-net spread is ≈48bps which represents the expense ratio.

### SIP&P Target Asset Mix



\*Real estate was added to the SIP&P asset mix but no capital has been deployed yet.

### Net Asset Value



<b>To:</b>	Finance Committee	<b>Date of Report:</b> 6 October 2023
<b>From:</b>	Executive Director, Pension Fund Management	<b>Date of Meeting:</b> 16 November 2023
<b>Subject:</b>	<b>Responsible Investment Report – Endowment and Non-Endowed Funds</b>	
<b>Responsible Portfolio:</b>	Vice-President (Finance and Administration)	

## 1.0 PURPOSE

For Approval    For Information    For Discussion

## 2.0 MOTION

None

## 3.0 EXECUTIVE SUMMARY

In March 2022, the Finance Committee approved new Responsible Investing (RI) policies for the Endowment and Non-Endowed Funds. One of the deliverables of these new policies was an annual RI report which has now been completed.

The RI report highlights the following:

- University partnerships with RI coalitions
- External investment manager commitments to global climate initiatives
- Proxy voting and engagement by public equity managers
- Climate change metrics
- Case studies

This is the inaugural RI report. It should be viewed as a starting point and not the finish line.

## 4.0 INPUT FROM OTHER SOURCES

Input was provided by ESG Global (dedicated RI consultant), external investment managers, industry groups, and institutional investment peers.

## 5.0 ANALYSIS AND STRATEGIC ALIGNMENT

The RI Report discusses many specific goals including addressing climate change. The university has made climate change and reducing its carbon footprint an important commitment. As part of the university's commitment to decarbonize, the Combined Funds (Endowment + Operating Funds) have set a target for the portfolio carbon footprint to reach net zero by 2050, and an interim target to achieve a 50 per cent reduction in the weighted average carbon intensity (WACI) by 2030 using a 2019 base year. This initial target is on public equity holdings, and as data develops we will include the broader portfolio. To date, the carbon footprint of the public equity portfolio has decreased from a WACI of 196.8 in 2019 to 186.3 in 2022. This is a decrease of five per cent. We are now completing an asset-liability study where climate change and the carbon footprint will be assessed alongside financial returns.

The RI report also highlights how our external investment managers are voting proxies and engaging with the companies we own. In 2022, there were 180 separate engagements with publicly traded companies on topics ranging from carbon emissions, packaging waste, biodiversity, green buildings, board independence, business ethics, executive pay, employee health and safety, human capital development, data security, supply chain management, and modern slavery.

In addition to our external investment managers engaging companies, we leverage organizations such as the UN-supported Principles for Responsible Investing (PRI), the University Network for Investor Engagement, and the Pension Investment Association of Canada.

## 6.0 FINANCIAL IMPLICATIONS

Engaging with external investment managers and companies on ESG factors is important to delivering strong risk-adjusted returns and managing risk. The financial implications to the university are low and considering ESG is actually a form of risk mitigation.

## 7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT

By publishing the RI report, Carleton is being transparent in its approach and is now leading alongside some of its peer universities across Canada, publicly tracking their progress on ESG initiatives in their Endowment and Operating Funds. i.e. University of British Columbia, University of Toronto, and McGill University. Meeting the ESG and Endowment targets will require careful management and investment of funds to ensure objectives are met. This risk is mitigated by engaging skilled professional financial managers to ensure investments meet the objectives.

## 8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

There is reputational risk to not delivering on the 50 per cent interim carbon footprint reduction targets by 2030. It is important to communicate that this report and the data collected are the starting point in a journey for both the university's investments and the broader Canadian and global economy as we look to reduce carbon emissions and build a more inclusive society.

## 9.0 OVERALL RISK MANAGEMENT ANALYSIS

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

# Responsible Investing Report

Nov. 16, 2023

# Overview

- In March 2022, the Board of Governors approved the new Responsible Investing (RI) policies of the Endowment and Non-endowed funds.
- These policies require an annual RI report which contains the following:
  - University partnerships with RI coalitions
  - External investment manager commitments to climate change
  - Proxy voting and engagement results
  - Climate change metrics
  - Case studies

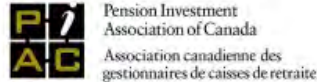


# RI Coalitions

- As part of Carleton's commitment to RI, the university participates in leading investor collaborations and coalitions:



The PRI is the world's leading proponent of responsible investment and works to support investor signatories in incorporating ESG factors into their investment and ownership decisions.



PIAC is a forum for pension plans to share information and knowledge. It is made up of over 130 of the largest pension plans in Canada. Although PIAC focuses on pensions, information shared is relevant to Carleton as a not-for-profit organization.



UNIE is a shareholder engagement program for university endowments and pension plans, leveraging their power as institutional investors to address climate change related risks.

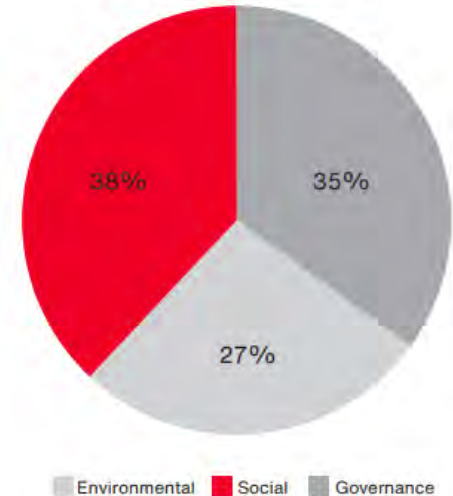
# External Investment Manager Commitments

- 100% of our external investment managers are signatories of the United Nations supported Principles for Responsible Investment.
- 80% of our external investment managers are formal supporters of the Task Force on Climate Related Financial Disclosures (TCFD).
- 40% of our external investment managers are members of the Net Zero Asset Managers (NZAM) alliance.
- 67% of our external public equity managers are members of the Climate Action 100.

# Proxy Voting and Engagement

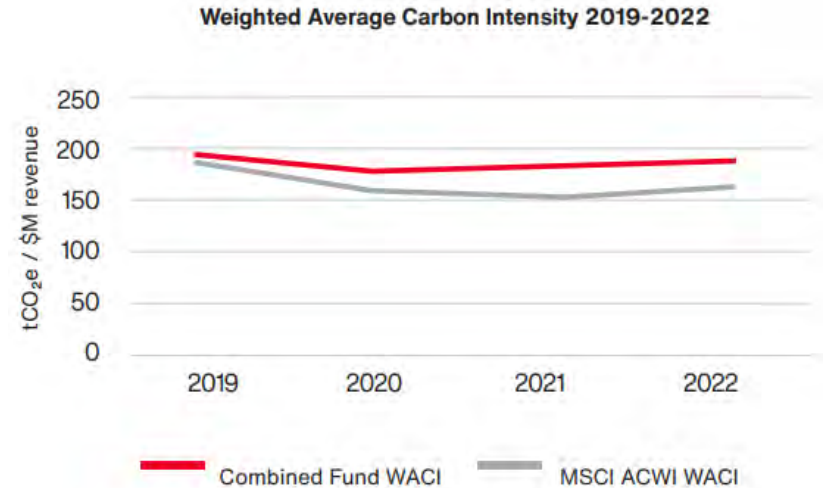
- External investment managers vote our proxies in accordance with our RI policies.
- 180 engagements were observed over the calendar year ranging from carbon emissions, packaging waste, biodiversity, green buildings, board independence, business ethics, executive pay, employee health and safety, human capital development, data security and supply chain management.
- The Pension Fund Management office monitors external investment manager progress on ESG through an annual questionnaire.
- The University Network for Investor Engagement (UNIE) also engaged 42 of Carleton's public equity holdings on climate change. This is an initiative run by SHARE on behalf of several Canadian universities.

Engagement Initiatives by Topic



# Climate Change

- As part of the university's commitment to decarbonization, the Endowment and Non-endowed Funds have set a target for the portfolio carbon footprint to reach net zero by 2050.
- An interim target was set to achieve a 50 per cent reduction in weighted average carbon intensity (WACI) by 2030 using 2019 as a baseline. This target is for the Scope 1 and 2 emissions of the public equity holdings.
- Other asset classes will be considered when the data becomes available.
- The Investment Committee is in the process of completing an asset-liability study with students in the Sprott Student Investment Fund, with climate change being an input variable given consideration in the asset mix decisions.



Canada is a significant weight in Carleton's public equity holdings relative the MSCI All Country World Index. Canadian equities are more carbon intensive relative to the world.

# Responsible Investing Priorities

- The university considers the following ESG-related issues as important strategic priorities:
  - Climate Change
  - Indigenous Rights
  - Human Rights, including Accessibility and LGBTQ2S+ Rights
  - Diversity, Equity and Inclusion
  - Mental Health and Wellness
- Responsible investing initiatives related to these priorities will be further developed over time.
- It is important to note this inaugural report is a baseline and we look forward to progress on these initiatives in the years to come.

# Carleton University Responsible Investing Report

September 2023



**Carleton**  
University





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Responsible Investing Priorities	14

This report covers the Combined Funds' Responsible Investing (RI) approach and performance for the period January 1, 2022 – December 31, 2022. Within this report, the terms “the Funds”, “the Fund”, “the portfolio” or other similar terms refer to the Combined Funds, made up of the Endowment Fund and Non-Endowed Operating Funds. The University seeks to align its reporting with the recommendations of the Task Force on Climate-related Financial Disclosures (TCFD). Created by the Financial Stability Board, the goal of the TCFD is to improve and increase the reporting of climate-related financial information.



# Responsible Investing

## Commitment to Responsible Investing

Carleton University (“the University”) maintains an Endowment Fund and Non-Endowed Operating Funds, referred to collectively as the Combined Funds (“the Combined Funds”), in order to meet, or to supplement, expenditure requirements. The income generated by the Endowment Fund supports student aid (such as scholarships and grants); the Non-Endowed Operating Funds support campus initiatives such as infrastructure refurbishment and transition, and a variety of other campus goals. The objective of the Combined Funds is to provide a flow of income while maintaining

the real value of the capital to ensure that the University is able to continue to fund the above-described activities. We believe that consideration of environmental, social and governance (ESG) factors can have a positive effect on long-term financial performance, and thus may better align the portfolio with the interests of stakeholders. Full descriptions of the Combined Funds’ approaches to Responsible Investing (RI) are available in the Endowment Fund Responsible Investing Policy and Non-Endowed Funds Responsible Investing Policy (“the Policies”).

As part of Carleton’s commitment to RI, the University participates in leading investor collaborations and coalitions:



The PRI is the world’s leading proponent of responsible investment and works to support investor signatories in incorporating ESG factors into their investment and ownership decisions.



PIAC is a forum for pension plans to share information and knowledge. It is made up of over 130 of the largest pension plans in Canada. Although PIAC focuses on pensions, information shared is relevant to Carleton as a not-for-profit organization.



UNIE is a shareholder engagement program for university endowments and pension plans, leveraging their power as institutional investors to address climate change related risks.



# Governance of Responsible Investing

## Governance

Ultimate oversight of the Combined Funds' approach to Responsible Investing is provided by the University's Board of Governors. As part of this responsibility, the Finance Committee of the Board of Governors and the overall Board of Governors approve the Funds' Responsible Investing Policies every two years or more frequently as required. The University Investment Committee is responsible for providing oversight, and monitoring the implementation of the Policies on a quarterly basis. The Investment Committee implements the Board of Governors' resolutions related to RI and ensures appropriate internal and external resources are available for successful execution of the Policies.

## Management

The Pension Fund Management (PFM) office is responsible for day-to-day implementation of the Policies and provides quarterly reporting to the Investment Committee. The PFM team's responsibilities include developing and implementing frameworks for incorporating ESG factors, including risks and opportunities related to climate change, into the external manager selection and monitoring process and production of reporting and disclosure aligned with the Policies. The Combined Funds' investments are managed by external investment managers, which impacts the University's ability to influence the selection of individual investments and/or undertake direct stewardship with investees. Therefore, the team implements the Policies primarily through ESG-related requirements for external managers and monitoring of external manager activities and performance on ESG matters, including climate risks and opportunities.





# Responsible Investing Approach

## ESG Expectations for External Managers

The Combined Funds' Responsible Investing Policies set out expectations for external managers, including requirements to incorporate ESG through:

- **ESG Integration:** Integrate consideration of material ESG risks and opportunities into the investment decision-making process, alongside financial considerations.
- **ESG Engagement:** Monitor investments and engage with investees where significant ESG concerns are identified.
- **Proxy Voting:** Undertake proxy voting on behalf of the Funds for listed equity holdings, taking ESG considerations into account.

<b>Principles for Responsible Investment (PRI)</b>	The PRI is the world's leading proponent of responsible investment and works to support investor signatories in incorporating ESG factors into their investment and ownership decisions.	100% of the University's external managers are PRI signatories
<b>Task Force on Climate Related Financial Disclosures (TCFD)</b>	TCFD was created under the auspices of the Financial Stability Board to address systemic risk to the global financial system posed by climate change. It developed a framework of climate disclosure recommendations for companies and investors, who can also promote the framework as TCFD supporters. The Fund seeks to align its Responsible Investing Report with the TCFD recommendations.	80% of the University's external managers are TCFD Supporters
<b>Net Zero Asset Managers (NZAM)</b>	NZAM is an international initiative of asset managers who have committed to supporting the goal of net zero GHG emissions by 2050, in line with efforts to limit global warming to 1.5°C.	40% of the University's external managers are NZAM members
<b>Climate Action 100+ (CA100+)</b>	CA100+ is a global engagement collaboration targeting companies that are systemically-important GHG emitters to improve climate governance, reduce GHG emissions and enhance climate disclosure.	67% of the University's external public equity managers are Climate Action 100+ participants

## Incorporating ESG into External Manager Selection and Monitoring

The quality and rigor of the ESG approach is considered in external manager selection and monitoring. When selecting new external managers or allocating new mandates to existing managers, the PFM team assesses the prospective manager's ability to accommodate the Combined Funds' respective Responsible Investing Policies as well as the rigor of the manager's own RI policies and procedures. ESG information is gathered from external investment managers on an ongoing basis through the ESG Questionnaire.

## External Manager Engagement

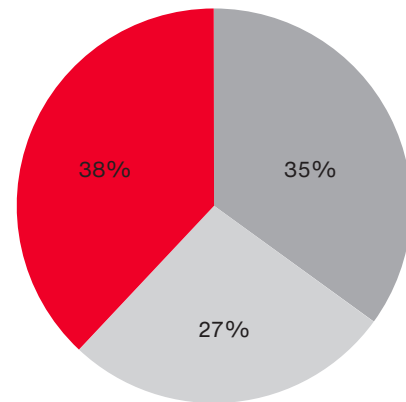
The Endowment Fund's external managers engage with investee companies to address ESG issues. While the specific issues addressed vary by company and by manager, in 2022 approximately 27% of engagement initiatives were focused on Environmental factors, approximately 38% were focused on Social factors and approximately 35% were focused on Governance factors. There were over 180 separate engagements.

External Manager	Asset Classes Managed for the Funds	Disclosures on Responsible Investing Approach
MFS Investment Management	Global Equity (Pooled)	<ul style="list-style-type: none"> <li>Responsible Investing Policy</li> <li>Proxy Voting Policy</li> </ul>
Phillips, Hager & North Investment Services (RBC Global Asset)	Canadian Equity, Fixed Income (Pooled), Fossil Fuel Free Fund (Pooled)	<ul style="list-style-type: none"> <li>Responsible Investing Policy</li> <li>Proxy Voting Policy</li> </ul>
Sprott Asset Management	Equities and Fixed Income	<ul style="list-style-type: none"> <li>Responsible Investing Policy</li> <li>Proxy Voting Policy</li> </ul>





Engagement Initiatives by Topic



Environmental Social Governance

### External Manager Responsible Investing Overview

All the Funds' public markets external managers publish details of their RI approach, including their own responsible investing policy, and their proxy voting policy (in the case of equity managers).

### Monitoring the Portfolio on ESG

In 2023, the PFM team put in place a framework to monitor the Fund holdings on ESG, to evaluate implementation of the Responsible Investing Policies and enable more effective engagement with external managers. Monitoring results are reported to the Investment Committee. The monitoring approach, which draws on information received from external managers through the ESG Questionnaire as well as data from third-party ESG research providers, reflects responsible investing standards and expectations for asset owners, including PRI, TCFD, and the Organization for Economic Cooperation and Development (OECD) Guidance on Responsible Business Conduct for Institutional Investors. The portfolio will be monitored for ESG controversies, proxy voting by external managers in relation to significant ESG-related proposals, and progress on climate-related metrics and targets.

Where monitoring reveals significant unresolved ESG concerns relating to the Combined Funds' holdings, the PFM team will engage with relevant external managers. Where it is believed that the Combined Funds' participation could add value, the Funds may also engage directly with investees, typically through collaborative initiatives, since engagement on ESG matters by a group of investors will often have greater influence than a single investor acting alone. The Combined Funds may also participate in coalitions or industry groups that advance ESG disclosure and standards or support ESG principles within the investment industry.



# Climate Change

## Approach to Climate Change

The University recognizes that climate change is one of the ESG factors with the most significant potential to impact the value of investments across all sectors through risks and opportunities associated with both the physical impacts of climate change and the transition to a low-carbon economy. The University believes that climate-related risks can be mitigated by adopting a portfolio decarbonization strategy. The Combined Funds are therefore committed to pursuing portfolio decarbonization by measuring and disclosing the portfolio carbon footprint and setting targets for reducing portfolio carbon emissions aligned with global climate goals.

## Measuring and Disclosing Portfolio Carbon Footprint

In 2022 the PFM team began measuring and monitoring portfolio climate metrics for the Combined Funds. Over the past year, the team obtained third-party data on portfolio emissions for all public equity investments. At present, measurement of portfolio carbon is limited to the Scope 1 and 2 emissions of public equities because reliable and consistent data is not yet available for other asset classes or Scope 3 emissions. The PFM team will look to incorporate additional asset classes as data availability improves.

Using data from MSCI, the PFM team tracks the following metrics for the Combined Funds.

**Weighted Average Carbon Intensity (WACI):** expressed in tons of CO<sub>2</sub> equivalent per million dollars in revenue (tCO<sub>2</sub>e / \$M revenue). WACI is a portfolio carbon footprint metric that describes a portfolio's exposure to carbon-intensive assets.

**Exposure to Low Carbon Solutions Companies:** identifies the market value of the portfolio exposed to companies that have the potential to benefit from the growth in demand for low-carbon products and services (e.g., renewable energy, electric vehicles and solar cell manufacturers).

**Exposure to Low Carbon Transition Risk Companies:** identifies the market value of the portfolio exposed to companies that have the potential to face increased costs, reduced demand for carbon intensive products or companies facing risks associated with stranded assets.

## 2022 Fund Public Equity Carbon Metrics

### GHG Emissions

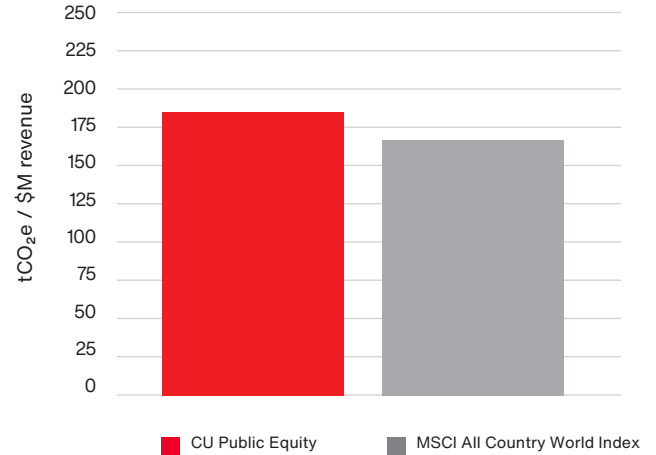
**Scope 1** (Direct GHG Emissions): GHG emissions that occur from sources that are owned or controlled by the company (e.g., emissions from the manufacturing or processing of chemicals and materials, transportation of materials, products, and waste, generation of electricity, heat, or steam, etc.).

**Scope 2** (Indirect GHG Emissions): GHG emissions from the generation of purchased electricity consumed by the company.

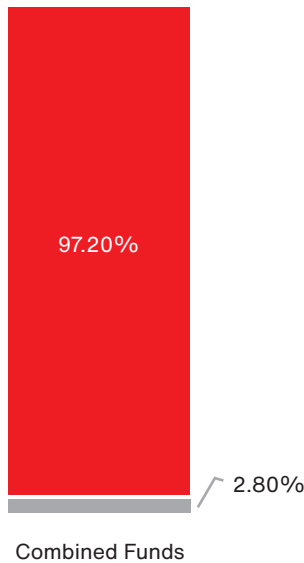
**Scope 3** (Other Indirect GHG Emissions): GHG emissions that are a consequence of the activities of the company but occur from sources that are not owned or controlled by the company (e.g., outsourced activities, employee business travel, the use of sold products and services, etc.).

**Net Zero GHG Emissions:** GHG emissions produced are balanced out by the removal of an equivalent amount of GHG emissions. GHG emissions should first be reduced as much as possible and any remaining GHG emissions should be balanced using carbon removal mechanisms (e.g., green infrastructure, carbon capture, utilization and storage, or carbon offsets).

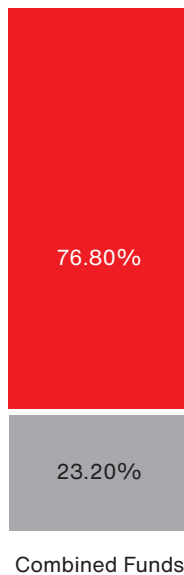
### Weighted Average Carbon Intensity



### Exposure to Low Carbon Solutions



### Exposure to Low Carbon Transition Risk



■ Exposure to Low Carbon Solutions Companies

■ Exposure to Low Carbon Transition Risk

### Public Equity Allocation by Region

While the Combined Funds' public equity holdings are diversified across many different regions, Canadian investments make up a higher proportion of the Combined Funds' holdings than the MSCI All Country World Index which is a snapshot of the world's investable universe. The Canadian equity universe is more carbon intensive relative to the world.

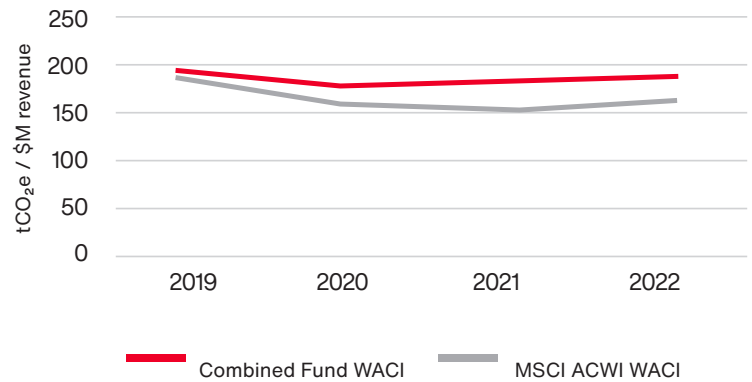
With the exception of the new Fossil Fuel Free Fund, the Combined Funds do not exclude any specific sectors in their indirect investments based on the principle that climate change must be addressed by investors through stewardship across all sectors. However, we are committed to refrain from any direct fossil fuel investments and the new Fossil-Fuel Free Fund has been established so donors may choose to direct their gifts away from fossil fuels.

### Setting Targets for Reducing Portfolio Carbon Footprint

As part of the University's commitment to decarbonization, the Combined Funds have set a target for the portfolio carbon footprint to reach net zero by 2050 and an interim target to achieve a 50% reduction in WACI by 2030 using 2019 WACI as a baseline. 2019 was selected as the baseline year because it offers the greatest level of confidence in the underlying data and it pre-dates the pandemic when fossil fuel use was at full capacity.

As of the end of 2022, the Combined Funds had a WACI of 186.3. In comparison, the benchmark, the MSCI ACWI Index, had a WACI of 162.4.

Weighted Average Carbon Intensity 2019-2022



### Decarbonization

Carleton University is committed to demonstrating leadership by integrating sustainability principles into its decision-making and activities. As part of this commitment the University has set a target of reducing Scope 1 and 2 emissions associated with campus operations by 50% by 2030 and reaching net zero by 2050. Climate change is also recognized as one of the ESG factors with the most significant potential to impact the value of investments across sectors. The PFM team has begun monitoring the carbon footprint associated with the Combined Funds' public equity investments and, as data availability improves, will also seek to measure additional asset classes. Carleton has also set a target, complementary to the broader campus target, to reduce the Combined Funds' public equity portfolio carbon footprint by 50% by 2030 and reach net zero by 2050.

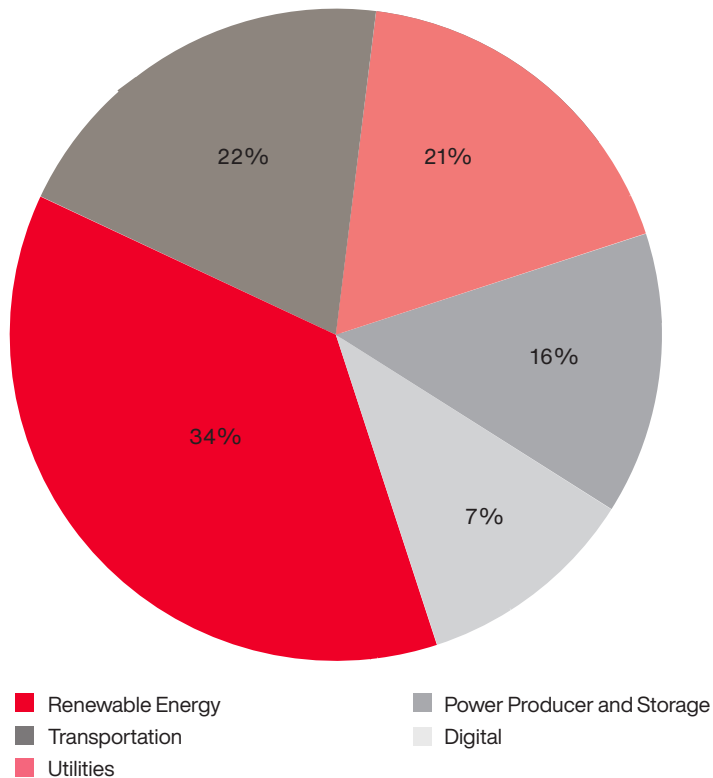




### Renewable Energy

Renewable energy investments make up 34% of the Endowment Fund's 15% global infrastructure allocation. Renewable energy includes hydro, wind, solar and storage. The Endowment Fund's infrastructure managers also leverage their scale and global footprint to decarbonize their traditional infrastructure businesses in the digital, utilities, and transportation sectors.

### Endowment Fund Infrastructure Allocations





### Engaging with External Managers on Climate Investment Strategy

The PFM team regularly engages with the external managers of the Combined Funds to ensure they employ an effective climate investment strategy for the assets under their management.

The Statement of Investment Policies and Procedures for each of the asset pools requires external managers to undertake stewardship with investees on climate change-related matters.

The University also encourages external managers to publicly support the goals of the Paris Agreement, which aim to limit the increase in global average temperature to well below 2°C, and preferably to 1.5°C, compared to pre-industrial levels. The University additionally encourages all external managers to publicly support the recommendations of the TCFD, and make disclosures in line with these recommendations.

To effectively monitor the external managers of the Combined Funds, the PFM team requires each manager to complete an annual ESG Questionnaire. The questions include how the firm addresses climate-related risks and opportunities in the investment process, whether it supports the Paris Agreement, whether it reports in alignment with the TCFD recommendations, and whether it measures the portfolio carbon footprint.

### External Manager Engagement on Climate Change

The Funds' external managers are expected to undertake stewardship with investees on climate change. For example, in 2022, one of the Funds' external managers engaged with a Canadian utility company on the opportunity to improve access to capital by taking advantage of the increasing appetite for ESG-labelled bonds. The company is now in the process of developing a green bond framework.

### PIAC Engagement on Climate

In 2022, PIAC continued its advocacy for mandatory climate-related disclosure through submissions to the Canadian Securities Administrators (CSA) and the International Sustainability Standards Board (ISSB).

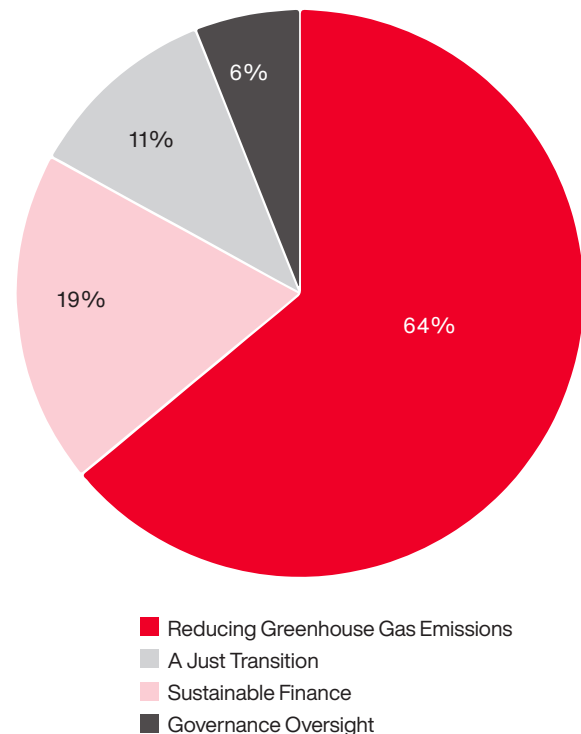
### University Commitment to UNIE

"The University participates in UNIE, a collaborative engagement program for university endowments and pension plans organized through SHARE. SHARE is one of Canada's leading shareholder engagement programs. UNIE engages companies to enhance climate governance, reduce GHG emissions, implement responsible climate lobbying, and work towards a just transition to a low-carbon economy. In 2022, UNIE engaged with 42 companies Carleton holds investments in. While 64% of these engagements were focused on reducing greenhouse gas emissions, other topics of focus included sustainable finance, a just transition, and governance oversight related to climate change.

### Case Study: Engagement with Bank of Nova Scotia

In 2022 SHARE engaged with Carleton equity holding Bank of Nova Scotia (Scotia) to encourage the company to improve its performance in relation to financed emissions (the GHG emissions of borrower companies), which has lagged its international peers. SHARE filed a shareholder proposal asking the company to bring its lending practices into alignment with the International Energy Agency's (IEA) Net Zero Pathway. SHARE came to an agreement with Scotia to withdraw the proposal when the bank committed to developing criteria for borrower net zero plans. SHARE will continue to engage on behalf of Carleton to support continued progress towards lending practices that are aligned with the IEA's framework.

UNIE Engagements by Topic



# Responsible Investing Priorities

While external managers are expected to consider all material ESG factors in their analysis and investment decision-making, the following ESG-related issues are important strategic priorities for the University.

- Climate Change
- Indigenous Rights
- Human Rights, including Accessibility and LGBTQ2S+ Rights
- Diversity, Equity and Inclusion
- Mental Health and Wellness

The responsible investing initiatives related to these priorities will be further developed over time.

## Case Study: Proxy Voting to Promote Increased Disclosure on Retail Supply Chain Risks

During the 2022 proxy season one of the Combined Funds' Canadian Equity managers voted in favour of a shareholder proposal asking a Canadian grocer to publish an annual summary of the company's supplier audit results. Although the company already undertook audits of its suppliers and led its peers in the amount of information it published addressing human rights in its supply chain, the manager supported the proposal because the additional disclosure would allow the manager to better assess the human rights risks faced by the grocer and its suppliers.

## Case Study: Engaging on Human Rights and Preventing Forced Labour in Solar Supply Chains

Investments in renewable energy are critical for the success of climate transition, but there is an increasing need to ensure that human rights are respected in renewable energy supply chains. One of the Combined Funds' external Infrastructure managers owns a global solar energy producer. The manager works continuously with the portfolio company to meet the requirements of its Modern Slavery Policy to prevent forced labour in the company's supply chain through active engagement, strategy days, Board meetings and weekly communication. The portfolio company has zero tolerance for the use of child or forced labour in its projects or plants and will not knowingly do business with contractors, sub-contractors, business partners or vendors who violate these standards. The company also provides training to its team on these issues. Oversight of human rights and supply chain issues is provided by the company's Board where the Infrastructure manager has a Board seat. The manager is committed to continuing oversight and engagement on the topic of human rights and preventing forced labour.





**Carleton**  
University



# Student Candidate Handbook

2024

**Office of the Board of Governors**  
607 Pigiavik (ᐱᐱᐱᐱᐱᐱ)  
[www.carleton.ca/boardofgovernors](http://www.carleton.ca/boardofgovernors)

# Call for Expressions of Interest

The Carleton University Board of Governors is seeking Expressions of Interest from students to be a candidate to fill four vacant positions as a Student Governor for the 2024/2025 Board Year.

The following positions are vacant:

- Two undergraduate students
- Two graduate students

The students selected by their respective student bodies to be considered for nomination to the Board, and once confirmed will serve a one-year term for the period of July 1, 2024 to June 30, 2025.

## Interested in Becoming a Student Governor?

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

1. Meet Eligibility Requirements to be a Student Governor;
2. Attend one of two **Board 101** sessions hosted by the University Secretary.
3. Complete the online **Expression of Interest** form no later than 4 pm (EST) on **Friday, January 26, 2024**.

Following this process, the names of eligible candidates will be presented for a vote by the respective student body (undergraduate and graduate) on February 5 and 6, to determine which undergraduate and graduate students will be presented for nomination to the Board. The election of the successful Student Governor candidates will take place at the June 6, 2024 meeting of the Board of Governors.

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

# Important Dates and Deadlines

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

<b>January 9</b>	Call for Expressions of Interest begins
<b>January 16</b>	Board 101 Mandatory Information Session from 12 pm to 1 pm EST (note only have to attend one of these sessions- either Jan. 16 or 17)
<b>January 17</b>	Board 101 Mandatory Information Session from 12 pm to 1 pm EST (note only have to attend one of these sessions- either Jan. 16 or 17)
<b>January 26</b>	Deadline for Submission of Expressions of Interest (4pm EST)
<b>January 29</b>	Validation of Student Expressions of Interest and Confirmation to Students Regarding Eligibility to Proceed
<b>January 29</b>	Candidates will be notified if they are eligible to continue in the Candidate Selection Process
<b>Jan. 29 – Feb. 2</b>	Campaigning Period
<b>February 5</b>	Online Voting Begins (link is activated at 10 am EST)
<b>February 6</b>	Online Voting Ends (link is deactivated at 10 pm EST)
<b>February 7</b>	Tabulation of results of Candidate Selection Process and Announcement of Successful nominees
<b>June 6</b>	Election for Student Governors at meeting of the Board of Governors

If you are successfully elected by the Board to become a Student Governor, you will be required to attend all full meetings of the Board of Governors as well as any committee meetings that you may be assigned to, during the 2024/25 Board year. To see an example of what the meeting schedule is like, please visit: <https://carleton.ca/secretariat/boardofgovernors/schedule/>

## Eligibility Criteria

In order to be eligible to stand as a candidate for election to the Board, an undergraduate student must:

- Be at least eighteen (18) years of age;
- have completed at least 4.0 credits successfully prior to service;
- be currently registered as a full or part-time undergraduate student in the semester in which the vote to become an eligible candidate is held (i.e. Winter 2024);
- continue to be registered as a full or part-time undergraduate student in both the fall and winter semesters of their term on the Board (i.e. Fall 2024 and Winter 2025); and
- maintain the academic status of Eligible to continue and maintain good non-academic conduct standing (the definition of academic continuation evaluation can be found at <https://carleton.ca/academicadvising/academic-standing/>, the definition of misconduct can be found at <https://carleton.ca/secretariat/wp-content/uploads/Students-Rights-and-Responsibilities-Policy.pdf>).

In order to be eligible to stand as a candidate for election to the Board, a graduate student must:

- Be at least eighteen (18) years of age;
- be currently registered as a full or part-time graduate student in the semester in which the vote to become an eligible candidate is held (i.e. Winter 2023);
- continue to be registered as a full or part-time undergraduate student in both the fall and winter semesters of their term on the Board (i.e. Fall 2024 and Winter 2025);
- maintain good non-academic standing

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

1. Attend one of two **Board 101** information sessions hosted by the University Secretary (see page 5 for more details).
2. Submit a completed **Expression of Interest** application (see page 4 for more details).

## Role of a Student Governor

The role of a Governor is a fiduciary one. Governors are required to act honestly, in good faith, with reasonable care and due diligence. Governors are to ensure that decisions and actions being deliberated upon at the Board level are in the best interests of Carleton University as a whole.

The Board is an independent, corporate governing body of the university, having significant accountability, obligations, and duties. The Board's role is primarily related to the overall strategic and financial oversight of the university, removed from the day-to-day decision making of the university.

The University's administration presents information, seeks advice, and requests the approval of proposals by the Board of Governors. Board members are expected to scrutinize these proposals and challenge management's assumptions while acting in the best interests of the university as a whole. The Student Governor's perspective and experiences as a student are invaluable to these discussions and deliberations. To learn more please visit: <https://carleton.ca/secretariat/boardofgovernors/governance/>

## Skills and Experience

Student Governors ought to have the following skills:

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

## Validation of Eligibility

All Expressions of Interest will be reviewed by the University Secretary to ensure that candidates meet the eligibility criteria. All candidates will receive an email from the University Secretary to confirm whether or not they are eligible to proceed in the selection process, by the end of business on Monday, January 29, 2024.

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

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

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

## Expression of Interest - Personal Statement and Photo

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

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



# Campaigning

Candidates may not campaign until they have received an official notification from the University Secretary that their Expression of Interest application has been validated. The campaign period begins on Monday, January 29, 2023 and runs through to 11:59 pm EST on Friday, February 2, 2023.

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

- Campaigning is not permitted throughout the voting period (Feb. 5 & 6).
- Campaign material must be submitted to the University Secretary for approval PRIOR TO BEING used. Campaign Material can be submitted at any time during the campaigning period. Submission can be done by email.
- The use of electronic media such as Facebook, Twitter and other social networks, personal emails and websites are permitted. Please note you can use hashtag **#BOGstudent24** and social media posts will be monitored.
- Stickers are not permitted.
- Campaigning on a slate is prohibited.
- Students are welcome to discuss their passions, personal beliefs and interests.
- In-class campaigning is allowed with the permission of the professor or instructor.
- Candidates are prohibited from soliciting or accepting donations towards their campaign.
- Volunteers helping candidates during campaigning must abide all election guidelines.
- Candidates are strongly encouraged to limit spending on campaign materials, collateral, advertising, etc. to a reasonable amount.

# Group Advertising

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

# Board 101 Information Sessions

Students who intend to submit an Expression of Interest MUST attend one of the two virtual Board 101 information sessions:

- **Session #1** –Tuesday, January 16 from 12 pm to 1 pm EST (meeting details will be provided to interested students)
- **Session #2** – Wednesday, January 17 from 12 pm to 1 pm EST (meeting details will be provided to interested students)

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

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

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

## Voting

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

- Monday, February 5 (link activated at 10 am EST)
- Tuesday, February 6 (link active until 10 pm EST)

## TABULATION

Tabulation of ballots will take place on Wednesday, February 7. This process is overseen by the University Secretariat.

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

## DISQUALIFICATIONS

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

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

# Campaign Guidelines

## YOU MUST

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

## YOU CAN

- ✓ Campaign between Monday, January 29 and Friday, February 2.
- ✓ Use electronic media such as Facebook, Twitter and other social networks, personal emails and websites. You can use the hashtag **#BOGstudent24**.

## YOU CAN NOT

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

# Administrative Staff Candidate Handbook

2024

**Office of the Board of Governors**

607 Pigiavik (ᐱᐱᐱᐱᐱᐱ)

[www.carleton.ca/boardofgovernors](http://www.carleton.ca/boardofgovernors)

# Call for Expressions of Interest

The Carleton University Board of Governors is seeking Expressions of Interest from Administrative Staff to be a candidate to fill one vacant positions as Administrative Staff Governor for the 2024/2025 Board Year.

The following position are vacant:

- One Administrative Staff Member

The administrative staff selected by the administrative staff-at-large to be considered for nomination to the Board, and once confirmed will serve a three-year term for the period of July 1, 2024 to June 30, 2027.

## Interested in Becoming an Administrative Staff Governor?

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

1. Meet Eligibility Requirements to be an Administrative Staff Governor;
2. Attend one of two **Board 101** sessions hosted by the University Secretary.
3. Complete the online **Expression of Interest** form no later than 4 pm EST on **Friday, February 9, 2024**.

Following this process, the names of eligible candidates will be presented for a vote by the eligible administrative staff body on February 20 and 21, to determine which administrative staff member will be presented for nomination to the Board. The election of the successful Administrative Staff Governor candidates will take place at the June 6, 2024 meeting of the Board of Governors.

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

## Important Dates and Deadlines

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

<b>February 1</b>	Call for Expressions of Interest begins
<b>February 6</b>	Board 101 Mandatory Information Session from 12 pm to 1 pm EST (note only have to attend one of these sessions- either Feb. 6 or 7)
<b>February 7</b>	Board 101 Mandatory Information Session from 12 pm to 1 pm EST (note only have to attend one of these sessions- either Feb. 6 or 7)
<b>February 9</b>	Deadline for Submission of Expressions of Interest (4 pm EST)
<b>February 12</b>	Validation of Expressions of Interest and Confirmation to Candidates Regarding Eligibility to Proceed
<b>February 12</b>	Candidates will be notified if they are eligible to continue in the Selection Process
<b>February 12 - 16</b>	Campaigning Period
<b>February 19</b>	Online Voting Begins (link is activated at 10 am EST)
<b>February 20</b>	Online Voting Ends (link is deactivated at 10 pm EST)
<b>February 21</b>	Tabulation of results of Candidate Selection Process and Announcement of Successful nominees
<b>June 6</b>	Election for Administrative Staff Governors at meeting of the Board of Governors

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

## Eligibility Criteria

In order to be eligible to stand as a candidate for election to the Board, a candidate must:

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

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

1. Attend one of two **Board 101** information sessions hosted by the University Secretary (see page 5 for more details).
2. Submit a completed **Expression of Interest** application (see page 4 for more details).

## Role of an Administrative Staff Governor

The role of a Governor is a fiduciary one. Governors are required to act honestly, in good faith, with reasonable care and due diligence. Governors are to ensure that decisions and actions being deliberated upon at the Board level are in the best interests of Carleton University as a whole.

The Board is an independent, corporate governing body of the university, having significant accountability, obligations, and duties. The Board's role is primarily related to the overall strategic and financial oversight of the university, removed from the day-to-day decision making of the university.

The University's administration presents information, seeks advice, and requests the approval of proposals by the Board of Governors. Board members are expected to scrutinize these proposals and challenge management's assumptions while acting in the best interests of the university as a whole. The Administrative Staff Governor's perspective and experiences are invaluable to these discussions and deliberations. To learn more please visit: <https://carleton.ca/secretariat/boardofgovernors/governance/>

## Skills and Experience

Administrative Staff Governors ought to have the following skills:

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

## Validation of Eligibility

All Expressions of Interest will be reviewed by the University Secretary to ensure that candidates meet the eligibility criteria. All candidates will receive an email from the University Secretary to confirm whether or not they are eligible to proceed in the selection process, by the end of business on Monday, February 12, 2024.

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

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

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

## Expression of Interest - Personal Statement and Photo

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

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



## Campaigning

Candidates may not campaign until they have received an official notification from the University Secretary that their Expression of Interest application has been validated. The campaign period begins on Monday, February 12, 2024 and runs through to 11:59 pm EST on Friday, February 16, 2024.

Each candidate will be entitled to campaign and inform the administrative staff of their interest to be considered for nomination to become a Governor. The Expression of Interest statement and your photo will also be posted on the Board of Governors website.

- Campaigning is not permitted throughout the voting period (Feb. 19 & 20).
- Campaign material must be submitted to the University Secretary for approval PRIOR TO BEING used. Campaign Material can be submitted at any time during the campaigning period. Submission can be done by email.
- The use of electronic media such as Facebook, Twitter and other social networks, personal emails and websites are permitted. Please note social media posts will be monitored.
- Stickers are not permitted.
- Campaigning on a slate is prohibited.
- Candidates are welcome to discuss their passions, personal beliefs and interests.
- Candidates are prohibited from soliciting or accepting donations towards their campaign.
- Volunteers helping candidates during campaigning must abide all election guidelines.
- Candidates are strongly encouraged to limit spending on campaign materials, collateral, advertising, etc. to a reasonable amount.

## Group Advertising

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

## Board 101 Information Sessions

Candidates who intend to submit an Expression of Interest MUST attend one of the two virtual Board 101 information sessions:

- **Session #1** – Tuesday, February 6 from 12 pm to 1 pm EST (meeting details will be provided to those interested)
- **Session #2** – Wednesday, February 7 from 12 pm to 1 pm EST (meeting details will be provided to those interested)

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

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

- What is the Board of Governors, its mandate and responsibilities?
- What is the governance structure (bi-cameral) of the university and how does it work?

- What is the role of a Governor?
- What are some of the key governing documents and their purpose?
- What is governance and what is a fiduciary responsibility?
- What is the duty of care and obligations expected of a governor?
- What is the Expression of Interest and how to do I become a Governor on the Board?
- Brief question and answer period

## Voting

Eligible administrative staff will be invited to vote from their Carleton Central account for all eligible candidates for consideration. Online voting will take place on:

- Monday, February 19 (link activated at 10 am EST)
- Tuesday, February 20 (link active until 10 pm EST)

## TABULATION

Tabulation of ballots will take place on Wednesday, February 21. This process is overseen by the University Secretariat.

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

## DISQUALIFICATIONS

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

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

# Campaign Guidelines

## YOU MUST

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

## YOU CAN

- ✓ Campaign between Monday, February 12 and Friday, February 16.
- ✓ Use electronic media such as Facebook, Twitter and other social networks, personal emails and websites.

## YOU CAN NOT

- ✗ Start campaigning until you have been notified that your nomination has been accepted.
- ✗ Post campaign material without getting it approved by the University Secretary.
- ✗ Block or encourage supporters to block any doors or stairways while campaigning.
- ✗ Campaign or solicit votes in computer labs.
- ✗ Campaign or solicit votes via interoffice mail, however, personal email is allowable.
- ✗ Solicit funds or accept donations towards your campaign.



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

**Carleton University Senate  
Meeting of September 22, 2023 at 2:00 pm  
Pigiarvik 608**

**MINUTES**

**Present in Person:** E. Abou Zeid, M. Barbeau, H. Becker, S. Blanchard, A. Bordeleau, A. Bowker, S. Burges, W. Chung, J. P. Corriveau, M. DeRosa, L. Dyke, R. Goubran, T. Haats, N. Hagigi, M. Haines, K. Hellemans, D. Hornsby, M. Huckvale, L. Kostiuik, A. Lannon, F. Lepore, A. MacDonald, B. MacLeod, J. Mason, D. Mendeloff, P. Mkandawire, J. Murray, H. Nemiroff, A. North, B. O'Neill, A. Park, G. Pickton, P. Rankin, M. F. Riazuddin, S. Seneviratne, O. Shafiq, D. Siddiqi, E. Sloan (Clerk), C. Smelser, D. Sprague, M. Taghavishavazi, K. Taylor, J. Tomberlin (Chair), C. Viau, G. Wainer, P. Wolff

**Present via Zoom:** J. Armstrong, H. Babb, F. Brouard, S. Everts, R. Gorelick, K. Graham, L. Madokoro, L. Marshall, B. O'Connor, M. Pearson, M. Rooney, P. Smith, J. Wallace

**Regrets** B. Albright-Peakall, M. Baez, B. Campbell, D. Caratao, E. Cyr, J. Malloy, L. Moffitt

**Absent:** A. Clarke, Y. Gandhi, D. Howe, K. Moss, S. Rajput, J. Taber

**Recording Secretary:** K. McKinley

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**1. Welcome & Approval of Agenda**

The meeting was called to order at 2:05 pm. Chair and Interim President Jerry Tomberlin reported to Senators that former President Benoit-Antoine Bacon was recently named the 17<sup>th</sup> President of the University of British Columbia. The Chair expressed gratitude to former President Bacon for his leadership and service to Carleton over the past 5 years, and noted that as interim President he will endeavor to continue Benoit's good work.

The Chair welcomed 20 new Senators to the meeting, and thanked them for their support of academic governance. He also welcomed the following Senators attending their first Senate meeting in new roles:

- L. Pauline Rankin – new Provost and Vice-President Academic
- David Hornsby – new Vice-Provost and AVP Academic
- Anne Bowker – Interim Dean of the Faculty of Arts & Social Sciences
- Howard Nemiroff – Interim Dean of Sprott School of Business
- Omair Shafiq – Interim Director of School of Information Technology
- Dan Siddiqi – new Chair of SCCASP

The Chair noted the recent passing of the following members of the Carleton community:

- Dr. Susan Landau-Clark, Associate Director of the Zelikovitz Centre for Jewish Studies
- Professor Patrick Selvadurai from the Department of Civil Engineering
- Professor George Frajkor, one of Carleton’s longest-serving Journalism professors
- Professor David Watkinson, Professor and former Chair of the Department of Earth Sciences

The Chair expressed condolences to those who knew and loved them.

The Chair next reviewed the recently revised meeting protocols for hybrid meetings of Senate:

- Observers are welcome to attend open sessions of Senate but are not allowed to speak, ask questions or vote.
- Senators are encouraged to attend meetings in person, but those joining online are asked to keep microphones muted and cameras on.
- In-person attendees use their name cards to gain the floor and vote.
- Online attendees use the CHAT feature to gain the floor (to move or second a motion, ask a question or provide a comment).
- Online attendees use the raised virtual hand feature on Zoom to vote.

Turning to the agenda, the Chair noted that the Library Committee Annual Report will be submitted in October, and should be struck from today’s agenda under Item 10(b) – Reports for Information – Senate Committee Annual Reports.

It was **MOVED** (P. Wolff, K. Taylor) that Senate approve the agenda for the meeting of Senate on September 22, 2023, as amended.

The motion **PASSED**.

## 2. **Minutes:** June 2, 2023 (Open Session)

It was **MOVED** (M. Haines, K. Hellemans) that Senate approve the minutes of the Open Session of the Senate meeting on June 2, 2023, as presented.

The motion **PASSED**.

## 3. **Matters Arising**

There were none.

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

The Chair began his remarks by highlighting the following recent academic achievements:

- Professor Odae Al Aboud (School of Mathematics & Statistics) and Professor Kifah Gharzeddin (Department of Biology) have been elected as members of the Royal Society of Canada College of New Scholars, Scientists and Artists. The Royal Society recognizes exceptional individuals who demonstrate leading scholarly research or artistic excellence.
- Cati Coe, Leila Mostaço-Guidolin and Jennifer Drake have been announced as Canada Research Chairs in Engineering and Political Science. They will advance research in flood infrastructure, fibrosis treatment and services for aging migrants.
- Two Carleton PhD students – Hannah Johnston (Information Technology) and Evan Wicklund (Sociology) are the recipients of a prestigious 2023 Vanier Canada Graduate Scholarship, worth \$50,000 per year for 3 years and awarded for exceptional research.

The Chair provided the following research highlights:

- Carleton University has secured an investment of \$1.65 million from the Natural Sciences and Engineering Research Council of Canada (NSERC), via their Collaborative Research and Training Experience (CREATE) program. The funding is for research and training in the crucial domains of permafrost, climate change, and sustainability. Through this funding, Stephan Gruber, Canada Research Chair in Climate Change Impacts and Adaptation in Northern Canada, and his team of researchers are tackling the pressing challenges posed by climate change in Arctic communities.

- Dawn Moore (Law and Legal Studies) in partnership with researchers in 3 countries was awarded a \$2.5 million Partnership Grant from the Social Sciences and Humanities Research Council (SSHRC) for their Prison Transparency Project (PTP), which aims to break down barriers in accessing prison information and protecting the human rights of those incarcerated. Also announced was \$3.4M in funding for 3 Partnership Development Grants and 15 Insight Grants.
- The Natural Sciences & Engineering Research Council of Canada (NSERC) has awarded \$12.5M in research funding to Carleton researchers whose projects support discovery and innovation. These awards include 5 Research Tools & Instruments Grants valued at \$468,613 – the highest number and amount that Carleton has historically received. Also included in the NSERC package are one Northern Research Supplement, 3 Subatomic Physics Grants, 12 Discovery Launch Supplements, and 38 Discovery Awards.
- The Canada Foundation for Innovation has granted 13 researchers at Carleton University a total of \$1.24 million, under their John R. Evans Leaders Fund (JELF). Funding will support research areas of strategic importance such as health and mental wellbeing, cultural heritage, sustainability, food integrity and language acquisition, among others.

Four distinguished Carleton University alumni have been honoured with appointments to the Order of Canada, in recognition of their profound impacts and contributions to Canadian society and the broader human community:

- Irwin Elman (BA Hons 1982), for his advocacy of children and youth
- Holly Susan McNally (BA, 1970) and Paul McNally (BA Hons, 1970) for advancing Canada's literacy through community-based programming
- Peter Showler (BA 1966) for leadership in immigration and refugee law.

The Chair closed his remarks by noting the following recent events:

- Spring Convocation (June 12 – 16, 2023) celebrated the achievements of more than 5,200 Carleton graduates, and 8 honorary degree recipients.
- Pride Month, in June, was an opportunity to show our respect and support for all members of the 2SLGBTQIA+ community.
- National Indigenous History Month, also in June, was an opportunity to recognize and reflect on the rich history, heritage and diversity of First Nations, Inuit and Métis Peoples across Canada.
- CU Appreciation Day on June 22, was held in person again for the first time in 3 years.

- The Carleton Community Breakfast, held on August 29 and 30, was a chance to say thank-you to former President Benoit-Antoine Bacon for his many contributions and achievements.

## 5. Question Period

Senator Morgan Rooney submitted two questions in advance:

1) At the 21 April 2023 Senate meeting, the Chair of SCCASP indicated that the existing “Academic Accommodations During Labour Disputes” policy would be reviewed at its August retreat. The key issue at the time was to make sure that Senate, as “the academic head” of the institution (*Academic Governance of the University*, p. 13), is not used in the future as a means to advance non-academic agendas. In particular, Senators sought to clarify the acceptable reasons for altering the normal course of academic matters, especially recommendations or motions 1) to rapidly change modalities and/or 2) to implement SAT/UNS or similar compassionate grading measures. Can the Chair of SCCASP update Senate on progress made on this item and/or provide a timeline for when/if Senate can expect to review a revised version of the “Academic Accommodations During Labour Disputes” policy?

*A response to this question was provided during the Report from the Senate Committee on Curriculum Admissions and Studies Policy (SCCASP).*

2) In the final week of the CUPE 4600 strike in April 2023, the then-Provost sent out a message to Carleton’s academic staff announcing that the administration had taken the extraordinary step of entering into instructors’ Brightspace pages without their consent to reactivate course pages that they had deactivated at the start of the legal strike, and in some cases revoked their access to Brightspace altogether. Such actions are likely to have a predictable legacy, degrading instructors’ trust in the tool and increasing the likelihood that some will elect not to use it (particularly during terms when their union is in bargaining). Given the many benefits of using an LMS for both instructors and students, the possibility of such an outcome must be of grave concern to Senate given its role as the institution’s “academic head.” What action(s) has administration taken (or does it have planned) to re-establish trust and to assure instructors that they can use the LMS without fear that doing so could mean putting themselves in a position to undermine the bargaining position of the union that represents them?



*Response from President Jerry Tomberlin: Parts of this question deal with labour relations and as such it would be inappropriate to comment on them at Senate. Regarding the effects on the usage of our learning management system (Brightspace), the data from Teaching & Learning Services does not indicate evidence of any impact on engagement with the system.*

## 6. Administration (Clerk)

### a. Membership ratifications

Clerk of Senate Elinor Sloan presented a motion to ratify the following new Senators:

- Shane Hawkins – FASS Faculty member (for 3-year term expiring June 30, 2026)
- Mehrnaz Taghavishavazi – Graduate student member (for 1-year term expiring June 30, 2024)
- Morgan Rooney – Contract Instructor (for 3-year term expiring June 30m, 2026).

The Clerk added that Morgan Rooney won the election held this month for Contract Instructor representative on Senate.

It was **MOVED** (M. DeRosa, D. Sprague) that Senate ratify the new Senate appointments, as presented, for service beginning immediately.

The motion **PASSED**.

### b. Senate Survey – summary of results

A report on the fifth annual Senate Survey, conducted in May of 2023, was circulated in advance to Senators. The Clerk presented the following highlights:

- Response rate was 40%, an increase in engagement from 2022.
- Positive feedback included:
  - Senate is efficient, welcoming, open and transparent, well organized and collegial.
- Suggestions for improvement:
  - Include PowerPoints in the binder and provide more time for discussion during the meeting.
  - Revise voting protocol for online and hybrid meetings.
  - Include more information on committees at Orientation.

The Clerk thanked all who completed the survey and noted that the next survey would be released in April of 2024.

c. **Report on Senate Executive Committee Summer Empowering Motion**

The Clerk reported that the Senate Executive Committee, acting on the Summer Empowering Motion, voted in an e-poll on July 11, 2023 to ratify the membership of the newly created Ad Hoc Committee on Graduate Academic Governance.

d. **Advisory Committee on the President & Vice-Chancellor – Senate-elected Membership**

The Clerk reported on the recent election of academic staff and student members to the Advisory Committee on the President & Vice-Chancellor. An election for undergraduate and academic staff members was held among Senators on August 29-30. The Senate-elected members to this committee include the following:

- Adrian Chan – Academic Staff member (elected)
- Kim Hellemans – Academic Staff member (elected)
- Betina Appel Kuzmarov – Academic Staff member (elected)
- Mira Gillis – undergraduate student (elected)
- Farzam Sepanta – graduate student (acclaimed)

The Clerk added that the full list of committee members has been posted on the Secretariat website.

7. **Reports:**

a. **SCCASP (D. Siddiqi)**

Committee Chair Dan Siddiqi began his report with a response to Question #1 submitted by Morgan Rooney. (See Item 5 - Question Period above.) He noted that the discussion of the Senate Policy on Academic Accommodations During Labour Disputes has begun at SCCASP but that more discussion will be needed before SCCASP is ready to bring a report to Senate.

Three items were then presented for approval and there were 2 items for information.

Items for Approval:

R-ADM-Program Certificate in Science and Policy

It was **MOVED** (D. Siddiqi, H. Nemiroff) that Senate approves the revisions to Regulation: TBD-2093 R-ADM-Program Cert Science Policy Requirement effective for the 2024/25 Undergraduate Calendar as presented.

The motion **PASSED**.

UG-ADM General-4 English language Proficiency Admission Regulation

It was **MOVED** (D. Siddiqi, M. Rooney) that Senate approves the revisions to Regulation: UG-ADM-General-4 English Language Proficiency Requirements effective for the 2024/25 Undergraduate Calendar as presented.

The motion **PASSED**.

R-UG-3.4.4 Application to Graduate (change of dates)

It was **MOVED** (D. Siddiqi, D. Hornsby) that Senate approves the revisions to Regulation: R-UG-3.4.4 Application for Graduation Requirements effective for the 2023/24 Undergraduate Calendar as presented.

The motion **PASSED**.

Items for Information:

- Minor Modifications dated June 6, 2023
- Sprott Micro-credential list for SCCASP, August 2023.

b. **SQAPC (D. Hornsby)**

Committee Chair David Hornsby presented one cyclical review report for approval.

It was **MOVED** (D. Hornsby, A. Bowker) that Senate approve the Final Assessment Report and Executive Summary arising from the Cyclical Review of the Undergraduate and Graduate programs in Geography and Environmental Studies.

The motion **PASSED**.

c. **SAGC (E. Sloan)**

Committee Chair Elinor Sloan presented a motion to ratify 12 new committee members:

#### Senate Committee on Curriculum Admissions and Studies Policy

- Pascal Gin (Faculty member – FASS)
- Emily Gray (Faculty member – Sprott)
- Mike Hildebrand (Faculty member – FGPA)
- Vandna Bhatia (Faculty member – FPA)

#### Senate Quality Assurance and Planning Committee

- Paul Keen (Faculty member – FASS)

#### Senate Honorary Degrees Committee

- Jennifer Evans (Faculty member – FASS)
- Donald Russell (Faculty member – FED)
- Chris Worswick (Faculty member – FPA)

#### Senate Undergraduate Studies Committee

- Ernest Kwan (Faculty member – Sprott)
- Susan Birkwood (Faculty member – FASS)

#### Senate Review Committee

- Dan Siddiqi (Faculty member) Chair – acclaimed
- Shane Hawkins (Faculty member – FASS)

It was **MOVED** (E. Sloan, L. Kostiuk) that Senate ratify the nominees for Senate committees, as presented, for service beginning immediately upon approval.

The motion **PASSED**.

## 8. **Strategic Integrated Plan Annual Implementation Report**

The SIP Annual Implementation Report reviews the progress achieved in implementing the latest Strategic Integrated Plan (2020-2025) each year. This year's report was presented in June to the Board of Governors by former President Benoit-Antoine Bacon. A copy of the report was circulated in advance to Senators.

The Chair noted the challenging context for this SIP. It was approved during the early days of the pandemic which then continued for two years. In addition to the general context of economic instability and geopolitical unrest over the past few years, the university has been operating in a challenging fiscal context, due to the frozen provincial grant and continuing tuition freeze.

Despite these challenges, significant progress has been achieved on all three strategic directions and all 15 “We Will” statements of the plan. The Chair presented, in reverse order, his “top 5” highlights from these successes:

#### #5) Organizational Excellence

- Achieved a balanced budget under challenging circumstances
- 2023 – one of Canada’s Top 100 Employers. Only 4 universities are on this list and Carleton is the only one from Ontario.
- 2023 – one of National Capital Region’s Top Employers
- Awards of Excellence for Healthy Workplace + Platinum recipient for Mental Health at Work
- Gold rating from AASHE for sustainability
- #1 Sustainable campus in Ontario and #2 Sustainable campus in Canada (2020)

#### #4) New Innovative Spaces

- Future Learning Hub
- Carleton Dominion Chalmers Centre
- Carleton Hub 350 in Kanata North
- New Engineering Design Centre
- Nicol Building Innovation Hub

#### #3) Inclusion – Carleton is a sector leader in this area.

- EDI Action Plan
- Coordinated Accessibility Strategy
- Kinàmàgawin Indigenous Strategy
- Student Mental Health Framework

#### #2) Student Success

- Largest graduation years in history (2021, 2022, 2023)
- 1-year retention rate above 90% for past three cohorts
- 2-year retention rate at historic highs – at or above 83% for past 3 cohorts
- Graduation rate at all-time high of 73% up from 68% in 2017

#### #1) Research Excellence

- Grants continue to trend upwards
- 3-year average external research revenue at \$91.4M
- Holistic Integrated Partnerships have grown by 540% (Ericsson, CAE, QNX, IBM, Bruyère, etc.)

Next steps:

- New Residence opening in Fall 2025 – 450 new spaces
- \$100M+ in annual research funding
- Moving towards next fundraising campaign of \$500M

- Renewal of the SIP in 2025

Discussion:

A Senator asked for clarification on the growth of graduating students, and whether this is simply due to growth in enrolment. The Chair noted that while graduate enrolment has increased, undergraduate growth has been challenged in recent years, due largely to the pandemic and visa issues for international students. The higher graduation rate can be attributed to improvements in retention.

A Senator asked about Carleton's long-term policy for in-person vs. online work for staff and faculty. The Chair noted that Carleton does have a policy on flexible work arrangements but it is difficult to predict at this time what the mix will be for online vs in person teaching moving forward.

There were no further questions.

9. **Artificial Intelligence (AI) Working Group Report**

Provost L. Pauline Rankin introduced this item, noting that this complex issue is of great interest to all of the Carleton community, particularly academic staff. Vice-Provost David Hornsby, Chair of the AI Working Group, then provided an overview of the report that was circulated to Senators in advance.

New generative artificial intelligence tools, such as ChatGPT have become widely available to the public and have evolved the capacity to generate content that is often difficult to distinguish from human intellectual property. As a result, these AI tools raise legitimate concerns related to academic integrity. The report considers various adaptive strategies universities may adopt to recognize and deal with both the opportunities and the challenges of generative AI tools within our sector.

From one perspective, generative AI tools may provide opportunities for innovative teaching methods and customized learning activities. For example, AI could assist in individual learning by serving as a Socratic opponent, study buddy, or tutor. AI could be used to generate games and challenges to enhance learning. However, in considering options, instructors should always begin by determining whether these tools align with the course's learning outcomes, and must also consider and evaluate any potential risks.

The challenges of AI tools are of particular concern to instructors, as AI can now effectively generate computer code, equations, images, and different types of text, including essays. The report provides a set of guidelines for instructors considering the use of AI tools, plus a number of strategies and pedagogical tips for instructors to adapt course assignment design so that it is more difficult for students to use AI inappropriately.

The report also recommends the following additional actions:

- The Academic Integrity Policy should be updated to reference generative AI tools more specifically.
- Deans' Offices could investigate the creation of a centralized Academic Integrity Office to support disciplinary Faculties, collect data and maintain a website devoted to AI information.
- Similarly, a collaboratively created FAQ page for students and instructors could provide guidelines on the ethical (and unethical) uses of AI tools.

Discussion:

- In response to a question from the floor, the Vice-Provost affirmed that the report may be circulated outside of Senate, provided that Senators do not have any adjustments to recommend. The report will be circulated to the community within the next week via the TLS email list.
- A Senator asked about the recommendation to edit the Academic Integrity Policy. In response it was noted that the suggestion is to insert explicit language stating that the use of AI and text generators constitutes an academic integrity infraction. The Chair added that any changes to the AI Policy will be presented to, discussed at and approved by Senate.
- Regarding other suggestions, these will be discussed among various relevant groups before decisions are made regarding how, when or if to move forward with the recommendations. The working group will continue to meet each term to ensure that they are current with the evolving technologies.
- A Senator commented that adaptive strategies suggested in the report, particularly in re-weighting different types of assignments, have been helpful in reducing the misuse of AI in their classes. The Vice-Provost agreed that creative approaches are useful and needed in encouraging students to treat assessments seriously without defaulting to text generators.
- A Senator asked if a boilerplate template could be made available to use for course syllabi. The Vice-Provost responded that a template should be available for instructors to use next term.
- A Senator asked whether CHAT-BOT bots could be used as a tool for students to evaluate their own writing, to determine if it resembles CHAT-bot output. The Vice-Provost noted that AI detector tools are unreliable and inefficient, and also many have been monetized so that subscription fees may now be required to access them. He added that TLS is working with ITS on Chat GPT from a coding perspective, to support university systems.

The Chair thanked Vice-Provost Hornsby and his team for their ongoing work on this project, and encouraged Senators to send any further suggestions, observations and comments to the Vice-Provost by email as soon as possible in order to be incorporated into the draft before it is circulated to the broader community. Senators also were encouraged to explore the resources provided on the group's webpage for more information.

## 10. Reports for Information:

- a. **Senate Executive Minutes**
  - i. **May 23, 2023**
  - ii. **E-polls: June 7, June 13, June 14, July 11**

There was no discussion of this item.

- b. **Senate Committee Annual Reports**
  - i. **Senate Student Academic Integrity Appeals Committee (SAIAC)**
  - ii. **Senate Undergraduate Studies Committee (SUSC)**
  - iii. **Senate Committee on Undergraduate Student Awards**
  - iv. **Senate Graduate Student Appeals Committee**
- c. **Senate Report**
- d. **Report from COU Academic Colleague**

### Questions and Comments on Reports:

The Chair introduced each report in turn and invited comments/questions from Senators.

**SAIAC Report:** A Senator asked the Chair of SAIAC to comment on the noticeable drop in academic integrity cases this year, and also whether there has been an increase in Chat GPT or Chatbot cases. Committee Chair Cristina Ruiz-Martin responded that the return to in-person classes and exams has resulted in fewer cases of academic integrity appeals, particularly in the Faculties of Science and Engineering, which had experienced a high volume of cases in previous years.

A Senator from Science added that the Office of the Dean of the Faculty of Science has been providing instructors with support in finding ways to prevent academic integrity violations. She noted that the number of academic integrity cases in her large classes dropped from 70 to 6 over the past year, through the use of new pedagogical techniques. It was also noted that the Academic Integrity Policy had been revised to include a “parking ticket” option for students, who could plea out, which also reduces the number of appeals.

**COU Academic Colleague Report:** Kim Hellemans noted topics for discussion at upcoming COU meetings will include the Blue Ribbon Panel, International Students and Housing, and university sector responses to Anti-Queer Anti-Trans sentiments



across the country. She advised that she has been appointed to the COU Executive Committee, and reappointed to the COU Government and Community Relations Committee, both for one-year terms to June 30, 2024.

11. **Other Business**

There was none.

12. **Adjournment**

The meeting was adjourned (D. Hornsby, L. Kostiuk) at 3:42 p.m.