

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

The 615th Meeting of the Board of Governors
Thursday, April 25th, 2019 at 3:00 p.m.
Room 2440R River Building, Carleton University

AGENDA

OPEN SESSION

1. CALL TO ORDER AND CHAIR'S REMARKS

2. DECLARATION OF CONFLICT OF INTEREST

3. APPROVAL OF OPEN AGENDA

- The agenda was circulated with the meeting material.

4. OPEN CONSENT AGENDA

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

5. PRESENTATIONS

- 5.1 Yazmine Laroche, Deputy Minister, Public Service Accessibility, Treasury Board of Canada Secretariat

6. OPEN - ITEM(S) FOR APPROVAL

6.1 2019/20 Operating Budget

- Executive Summary, Report and Presentation circulated in advance.

6.2 2019/20 Student Association Fees

- Executive Summary circulated in advance.

6.3 Sexual Violence Policy

- Executive Summary, feedback summary and policy were circulated in advance.

7. OPEN – ITEM(S) FOR INFORMATION

7.1 Report from the Chair

- A verbal report will be provided.

7.2 Report from the President

- A report was circulated in advance.

7.3 Committee Chair Updates

- Verbal reports:
 - a) Building Program (D. Craig)
 - b) Community Relations & Advancement (D. Fortin)
 - c) Finance Committee (B. Wener)
 - d) Governance Committee (K. Evans)

8. OPEN - OTHER BUSINESS

9. OPEN - QUESTION PERIOD

- There are no questions to be addressed.

10. END OF OPEN SESSION AND BRIEF NETWORKING BREAK

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Thursday, April 25th, 2018 at 3:00 p.m.
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CLOSED SESSION

11. APPROVAL OF CLOSED AGENDA

- The agenda was circulated with the meeting material.

12. CLOSED - CONSENT AGENDA

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

13. CLOSED – ITEM(S) FOR INFORMATION

13.1 Report from the Chair

- A verbal report will be given.

13.2 Report from the President

- A verbal report will be given.

13.3 Committee Chair Updates

- Verbal Reports:
 - a) Audit Committee (B. Wener)
 - b) Nominating Committee (N. Nanos)
 - c) Executive Committee (N. Nanos)
 - d) HR/Compensation Subcommittee (D. Fortin)

14. CLOSED - OTHER BUSINESS

15. CLOSED - IN CAMERA SESSION

16. ADJOURNMENT

AGENDA ITEM

6.1

BOARD OF GOVERNORS REPORT

To:	Board of Governors	Date of Report: 27 March 2019
From:	Provost and Vice-President (Academic)	Date of Meeting: 25 April 2019
Subject:	Proposed Budget for Operating Units 2019-20	
Responsible	Vice-President (Finance and Administration)	
Portfolio:		

1.0 PURPOSE

☒ For Approval ☐ For Information ☐ For Discussion

2.0 MOTION

The Board of Governors approve Carleton's 2019-20 Operating Budget as presented.

3.0 EXECUTIVE SUMMARY

The operating budget represents the resources available to fund core activities of the University, including: teaching and learning, research, student services, and academic and administrative support. It is funded by operating grants, tuition fees and other general revenues. The operating budget is divided into budgetary units called *Resource Planning Committees* (RPCs), and each RPC is responsible for the financial health of the departments within it. There are also university-wide expenses (e.g. employee benefits, utilities, student aid) that are grouped under *University Budgets*.

As currently mandated by the Board of Governors, the operating budget must be balanced each year. The University uses a multi-year base budget planning cycle to ensure that this objective is achievable each year over the long term. The 2019-2020 operating budget is break even, based on a long-term plan with conservative assumptions, and allocates funds to areas identified in the 2019-20 operating priorities.

The 2019-2020 Budget Report included with this document provides a summary of the 2019-2020 Ancillary Budget (approved by the Board in March 2019) as well as a Capital Plan and a Research Plan.

4.0 INPUT FROM OTHER SOURCES

Input into the operating budget is sought and received from a wide range of constituents. Beginning in the fall, discussions with the Board of Governors and management take place about strategic and operating goals and emerging priorities. These discussions occurs primarily through the Strategic Integrated Planning Committee (SIPC), which is composed of the President, Vice Presidents, Deans, Associate and Assistant Vice Presidents, and selected Directors. The Provost Budget Working Group (PBWG) then meets with all the RPC chairs to receive their input on resource allocations that would assist the University in meeting its objectives and priorities.

Input is also received from the students and enrolment portfolio and the faculties concerning projected enrolment levels, and suggestions as to the tuition fee rates to be applied. Input is sought from the Ministry of Colleges, Training and Universities as to grant formula changes. Information concerning enrolment, fees and grants is received by the Provost Budget Working Group (PBWG), which in turn formulates recommendations to the Board of Governors in the form of an operating budget.

5.0 ANALYSIS AND STRATEGIC ALIGNMENT

Carleton's 2019-20 Operating Budget projects total revenue and expenses of \$489.1M. This represents a decrease of \$15.5M from the opening 2018-19 approved budget of \$504.6M. This decrease is mainly attributable to the 10% reduction in domestic tuition fees, as legislated by the Government. Budget adjustments made to accommodate the revenue shortfall include a 2% cut applied to all RPC budgets, and a reduction in the amounts available for fiscal (one time) allocations from 2018-19 to 2019-20.

Approximately 94% of operating revenue comes from tuition fees (59%) and government grants (35%). For expenditures, 70% goes to compensation (salaries and benefits). A further 11% relates to campus infrastructure and 11% to student support and enrolment growth.

The 2019-20 Operating Budget includes \$42.7 million for: compulsory annual cost increases (e.g. negotiated salary increases, utilities), and discretionary allocations for enrolment linked budget allocations (ELBA) and to support the university's priorities. Funding for additional spending would come from RPC's base budget reductions (\$5.5M) and lower provisions and contingencies than the previous year (\$37.5M).

The University's operating priorities for 2019-20 include:

1. Support improvement in areas where we have key metrics in SMA2; in particular, improving student retention and graduation rates, and increasing experiential learning and other high impact practices that enhance the student experience and foster success after graduation.
2. Enhance research excellence and impact. Priority will be given to investments that promote the development of interdisciplinary research clusters that build on Carleton's existing disciplinary and interdisciplinary strengths and that are likely to lead to significant external research funding, positive economic and social impact, and national and international recognition.
3. Foster innovation, industry partnerships and social and economic development at the local, national and international level.
4. Support community engagement and, in particular, the revitalization of our relationship with Indigenous peoples.
5. Make Carleton more effective and efficient in achieving its mission including holistic integration of digital technologies, development of optimal facilities, identification and fostering of talent, and other professional and administrative functions

In addition, as the university looks to the longer term, consideration will be given to:

- Diversifying and increasing revenue from sources other than the provincial government, and
- Defining our story more sharply and amplifying our communications so as to raise our profile and reputation both locally and nationally.

You will find in the Budget Report attached, page 13, details on the 2019-20 compulsory and discretionary allocations by RPC's and activity.

6.0 FINANCIAL IMPLICATIONS

The 2019-20 Operating Budget has been prepared in the context of increasing revenue pressures caused by: i) SMA2 Corridor Funding that caps government grant funding on enrolment growth, ii) a tuition fee framework that reduces tuition fees in 2019-20 and subsequent freeze them in 2020-21, and iii) a coming SMA framework that will put increasing enrolment grant funding at risk. However, operating expenses are expected to continue to increase at a rate of between 2-3% per year. As a result, the budgeted 2019-20 operating surplus available to fund discretionary expenditures is lower than the historical trend and projected to continue to decline in the coming years. In 2019-20, the university will still be able to fund operating cost increases, and support operating priorities, in part though mandated base budget reductions. However, considerable funding uncertainties remain in future years, beginning in 2020-21.

7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT

The preparation and implementation of the operating budget involves the use of projections and estimates that increase the level of overall risk of not achieving the desired results. For example a 1% change in enrolment will lead to an approximate \$3M revenue variance (positive or negative). The University uses conservative enrolment projections, as well as conservative inflationary projections to offset enrolment risk. From a legal point of view, the University must have a budget approved before the start of a new fiscal year. The budget must also comply with the Board of Governors policy towards break-even results.

8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

An entity's budget and performance to budget, can have reputational implications. Overstating revenues and/or underestimating expenditures can lead to operating deficits, and debt that can have a reputational impact. At Carleton, we have deliberately and openly used conservative financial assumptions since the mid 1990's, which has allowed the university to maintain a strong financial position.

Communication of the budget is facilitated by the Budget Report and will be followed by presentations to staff and faculty in the coming months. An important aspect of the communications plan includes the involvement of RPC chairs in the budget allocation decisions.

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 type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FINANCIAL	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
REPUTATIONAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Carleton
UNIVERSITY

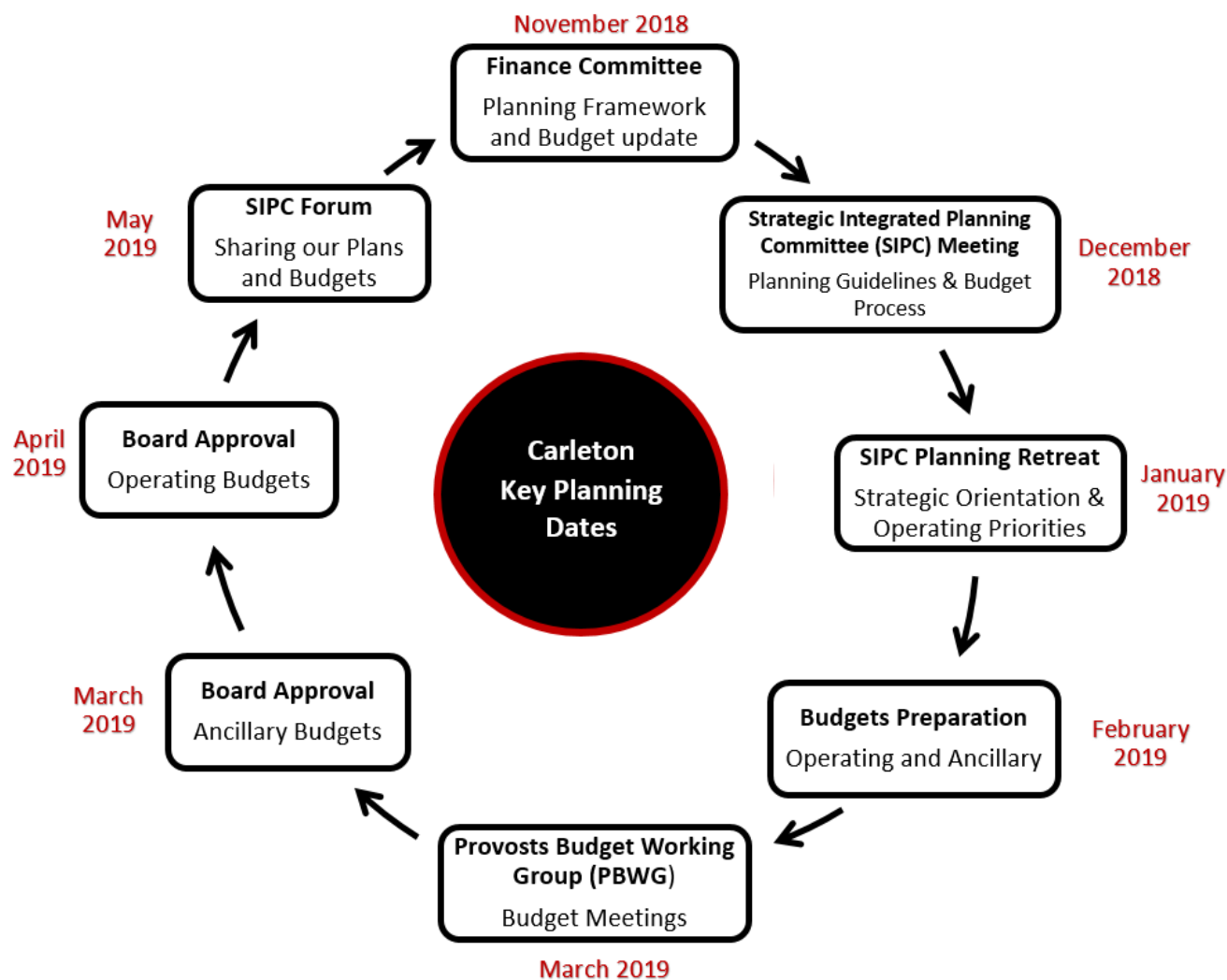
Canada's Capital University

2019-2020 Operating Budget

Finance Committee

April 11, 2019

Key Planning Dates



Planning Principles

- Enhancing our Academic Mission
- Aligning with our SIP and SMA-2
- Transparency and clarity
- Financial stability and sustainability
- Revenue generation and diversification

2019-20 Operating Priorities

1. Improving SMA2 Metrics – e.g. student retention and graduation rate, experiential learning and high impact practices
2. Enhancing research excellence and impact through interdisciplinary research clusters
3. Fostering innovation, industry partnerships and social and economic development at the local, national and international level
4. Supporting community engagement, specifically the revitalization of our relationship with Indigenous peoples
5. Making Carleton more effective and efficient in achieving its mission including holistic integration of digital technologies, development of optimal facilities, identification and fostering of talent, and other professional and administrative functions

Longer-term:

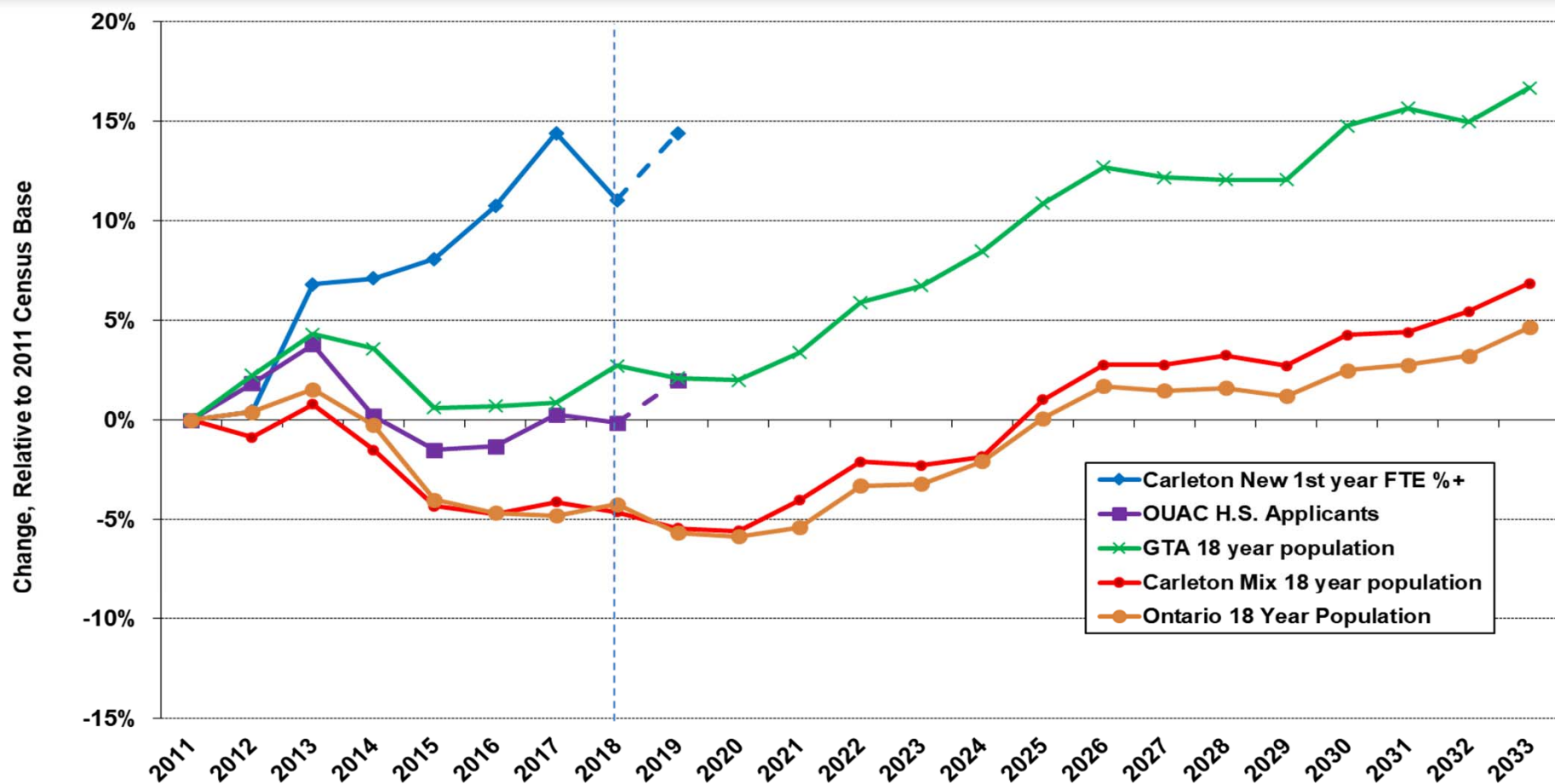
- Diversifying and increasing revenue from sources other than government
- Defining our story and communications to raise our profile and reputation

Budget Prioritization Process

- RPC Chairs Submitted Proposals to the Group of RPC Chairs, including:
 - ❖ Usage of any Carry Forward Funds
 - ❖ 2% Base Budget Reduction, Referring to Priorities
 - ❖ Requests for Additional Resources, Referring to Priorities and Distinguishing between Base and Fiscal Requests
- PBWG Prioritized Requests and Recommended the 2019-20 Budget



Projected Change in 18-year-old Population in Ontario: Carleton Impact



Source: Ontario Ministry of Finance: *Ontario Population Projections Update, 1986-2041* (Updated Spring 2018)

Ontario University Application Centre (OUAC) yearly statistics, OIRP Data cubes

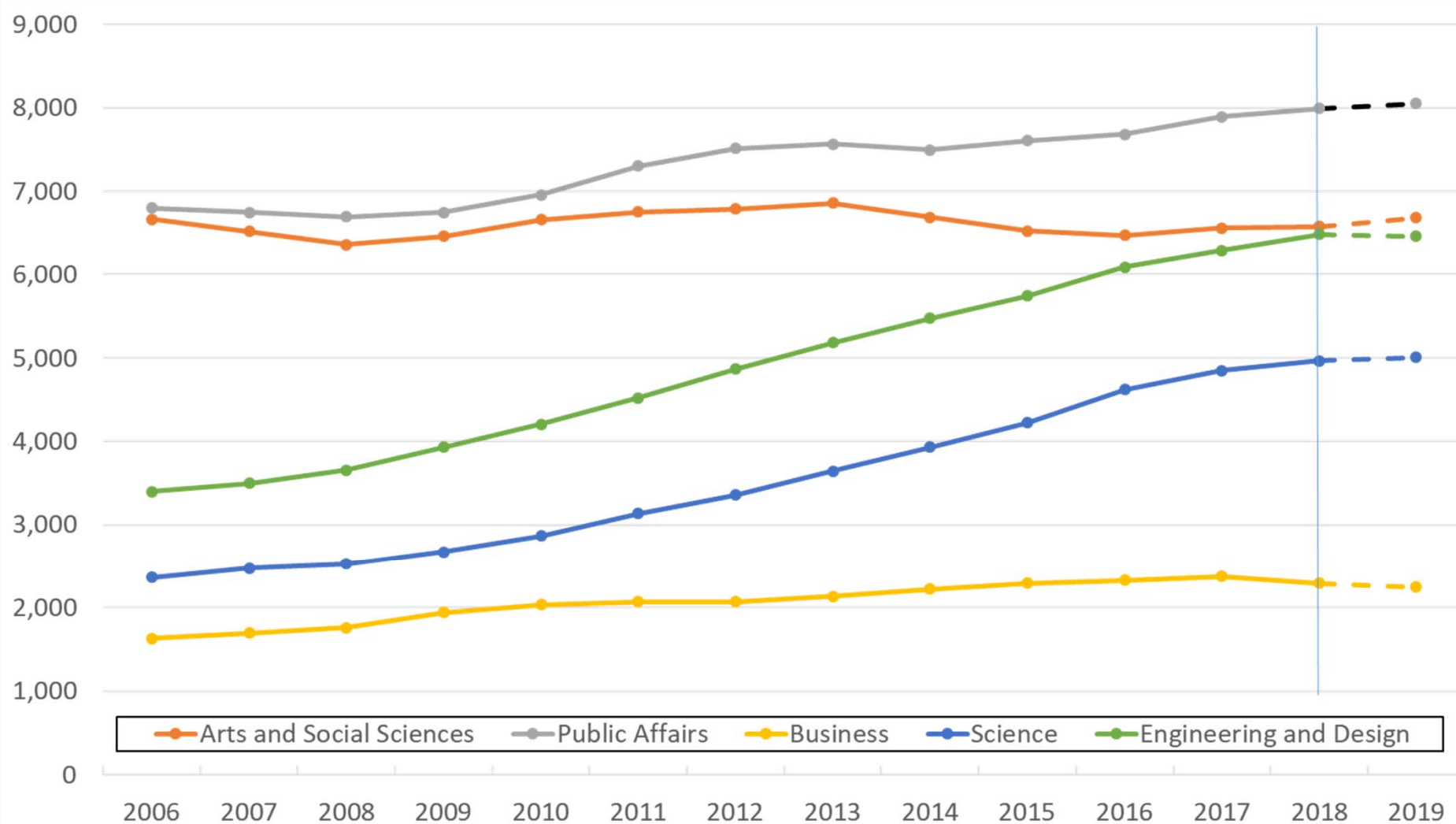
"Carleton Mix" is calculated based on actual Ontario enrolment mix Ontario intake (Fall 2017).

OUAC data from 2019 is as at March 7, 2019

Office of Institutional Research and Planning: 2019-03-20



Enrolment Growth by Faculty



Applicants/Targets - Fall 2019

Ontario University Application Centre Systems Data – First Year Undergraduate

	2019	2018	% +/-
Applicants	151,326	148,333	2.0%
Confirmations	n/a	(Final) 100,724	(up 1.9% from 2017)
Applicants (H.S. – ‘OUAC 101s’)	91,761	89,652	2.4%

Carleton University First Year Undergraduate

	2019	2018	% +/-
Applicants	23,374	22,950	1.8%
Approved	12,795	11,203	14.2%
Confirmed	1,484	1,349	10.0%

Carleton University Target (Full-time Fall)

	2019	2018	% +/-
First Year	6,463	6,275	3.0%
First Year (New)	5,498	5,322	3.3%
Undergraduate	21,625	21,380	1.1%
Total Enrolment (All Students)	31,379	31,061	1.0%



Carleton
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Canada's Capital University

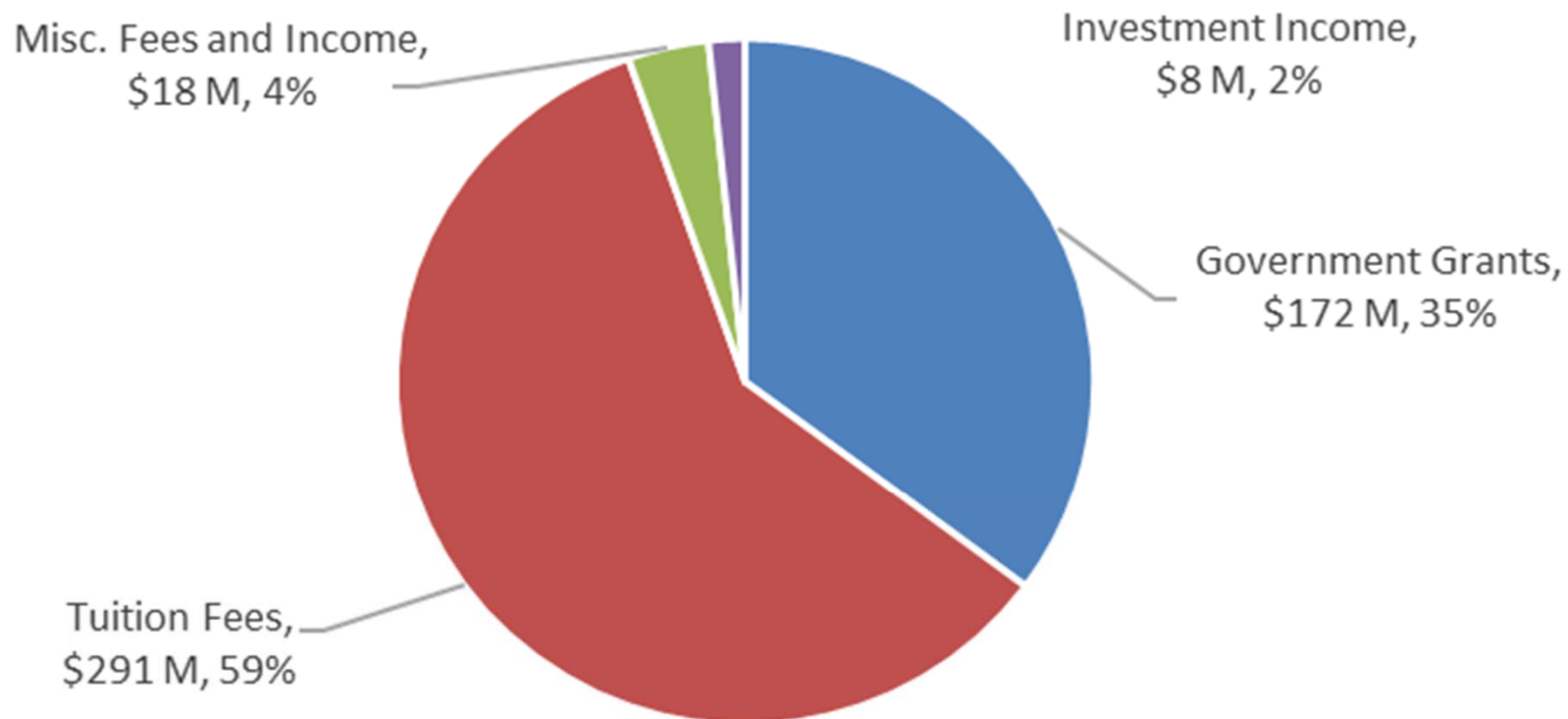
2019-20

OPERATING BUDGET



Projected Revenues

Total: \$489 Million



Tuition Revenue \$291.1M, - \$15.9M

- \$2.7M due to 2018-19 enrolment shortfall;
- \$13.2M from 2019-20 domestic (10%) fee decreases, offset by enrolment growth and flow-through
- Targeting 3% growth for Undergraduate (new) and 4.5% for Graduate (new) - *will get us back to 2017-18 levels*
- Overall Growth (with flow-through): Undergraduate 1.1%, and Graduate 1.5%
- International tuition fee increases of between 0-8%

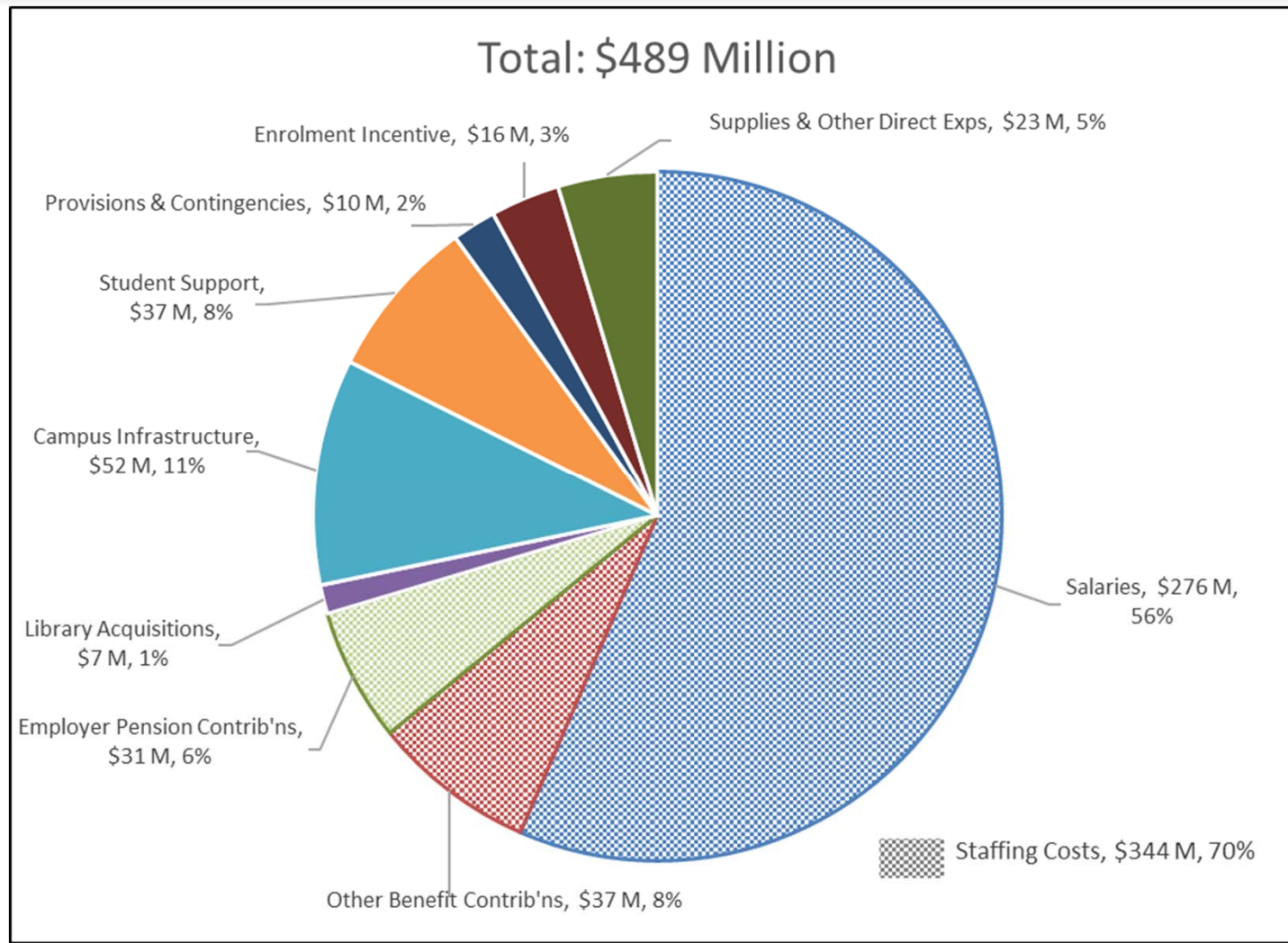


Year Over Year Revenue Changes

- Government Grants \$172.4M, -\$0.2M
- Investment Income \$8.2M, no change
- Other Income \$17.4M, +\$0.6M



Projected Expenses



Year Over Year Expense Changes

Total Expenses \$489.1M, - \$15.5M

Changes between 2019-20 and 2018-19 opening budgets:

- Salaries and Benefits + \$ 9.0M
- Operating Costs - \$24.5M

2019-2020 Allocation Changes

Compulsory and Discretionary Allocations * \$42.6M

- Academic (Provost's RPC, Faculties, Library) \$ 8.3M
- Student Support and Enrolment \$ 2.3M
- Research and International \$ 1.3M
- Administration \$ 5.5M
(e.g. President's RPC: Communications, Equity and GR; Secretariat and Legal; Finance, HR, IT, Facilities, Security, Advancement)
- University Budget (annual recurring expenses) \$12.1M
(e.g. benefit increases, utilities, student support)
- Provisions and Contingencies \$13.1M

**Note: \$42.6M available for increases and allocations come from 2% budget reductions (\$5.5M) and lower year-over-year provisions and contingencies (\$37.5M)*

Academic (Provost's RPC, Faculties, Library) \$ 8.3M

- Enrolment Linked Budget Allocation (ELBA) \$4.5M
- Faculty and staff positions \$0.9M
- Renovations and Lab fit-up \$1.1M
- Research (start-up fund) \$0.3M
- Library Collection \$0.2M
- Strategic Initiatives \$1.3M

Student Support and Enrolment \$2.3M

- Enrolment Management \$0.6M
- Student Success \$0.7M
- Employability \$0.2M
- Staff Positions \$0.8M

Compulsory and Discretionary Allocations

Research

\$ 1.3M

- Research Clusters & Researcher Support \$0.6M
- Start up, move in, and equipment costs \$0.3M
- Institutional Research Facilitators \$0.4M

Compulsory and Discretionary Allocations

Administration

\$ 5.5M

(e.g. President's RPC, Finance, HR, IT, Facilities, Advancement)

- | | |
|---------------------------------------------------------------------------------------|--------|
| ■ President's RPC
<i>(Communications, Equity and GR; Secretariat and Legal)</i> | \$1.1M |
| ■ Advancement
<i>(Planned Giving, Here for Good, sponsorship)</i> | \$0.4M |
| ■ Research IT Support | \$1.3M |
| ■ Project Management | \$0.2M |
| ■ Regulatory and security
<i>(SMA, IT & Physical Security, PCI, Risk Mgt.)</i> | \$0.8M |
| ■ Staff Positions | \$0.9M |
| ■ Sustainability improvements | \$0.5M |
| ■ Others | \$0.3M |

University Budget (annual recurring expenses) \$12.1M

(e.g. benefit increases, utilities, student mandated aid)

▪ Student Aid	\$ 1.1 M
▪ Employee benefits (incl. Pension Guarantee)	\$ 1.9 M
▪ Classroom and facility upgrades	\$ 7.2 M
▪ Computing infrastructure	\$ 3.6 M
▪ Cleaning contract	\$ 0.1 M
▪ Convocations	\$ 0.1 M
▪ Insurance	\$ 0.1 M
▪ Others	\$ 0.4 M
▪ Utilities	\$(1.3)M
▪ Inter-fund transfers	\$(1.1)M

Provisions and Contingencies \$ 13.1M

- Contingencies 2019-2020 \$10.3M
- Enrolment Incentive (ELBA) \$ 0.7M
- Capital Projects – Buildings \$ 2.1M

2019-2020 Budget Summary

	2018-2019 Budget (\$000)	2018-2019 Projected Results (\$000)	2019-2020 Budget (\$000)	Variance to 2018-2019 Budget (\$000)
Government Grant	172,607	176,578	172,392	(215)
Tuition Fee	307,000	304,300	291,100	(15,900)
Investment Income	8,250	8,250	8,250	-
Other Income	16,788	17,590	17,390	602
Total Revenue	504,645	506,718	489,132	(15,513)
Total Expenses	504,645	498,818	489,132	(15,513)
Operating Results	-	7,900	-	-

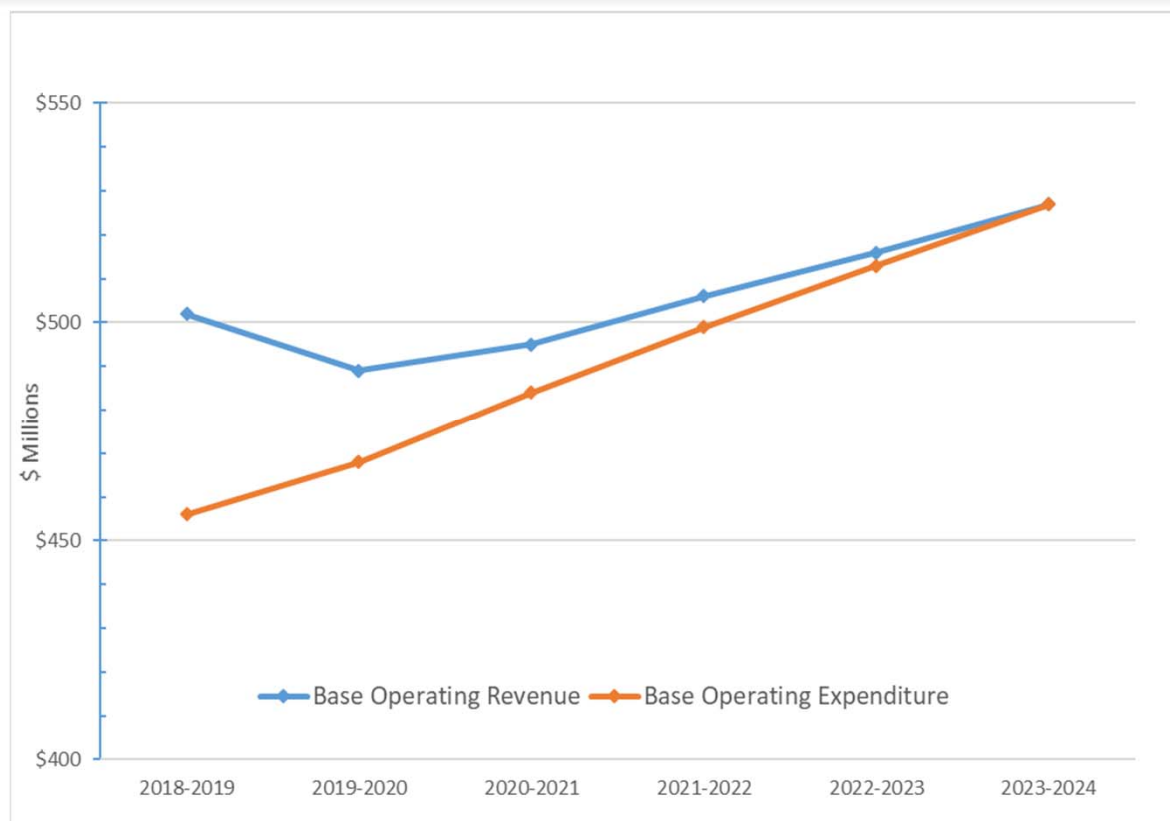
Notes 2019-2020 Budget vs. 2018-2019 Budget:

1. Government Grant - Small decrease expected from additional Performance grants
2. Tuition Fees - 10% decrease on domestic tuition rates
3. Expenses – 2% budget cut applied to all RPC's



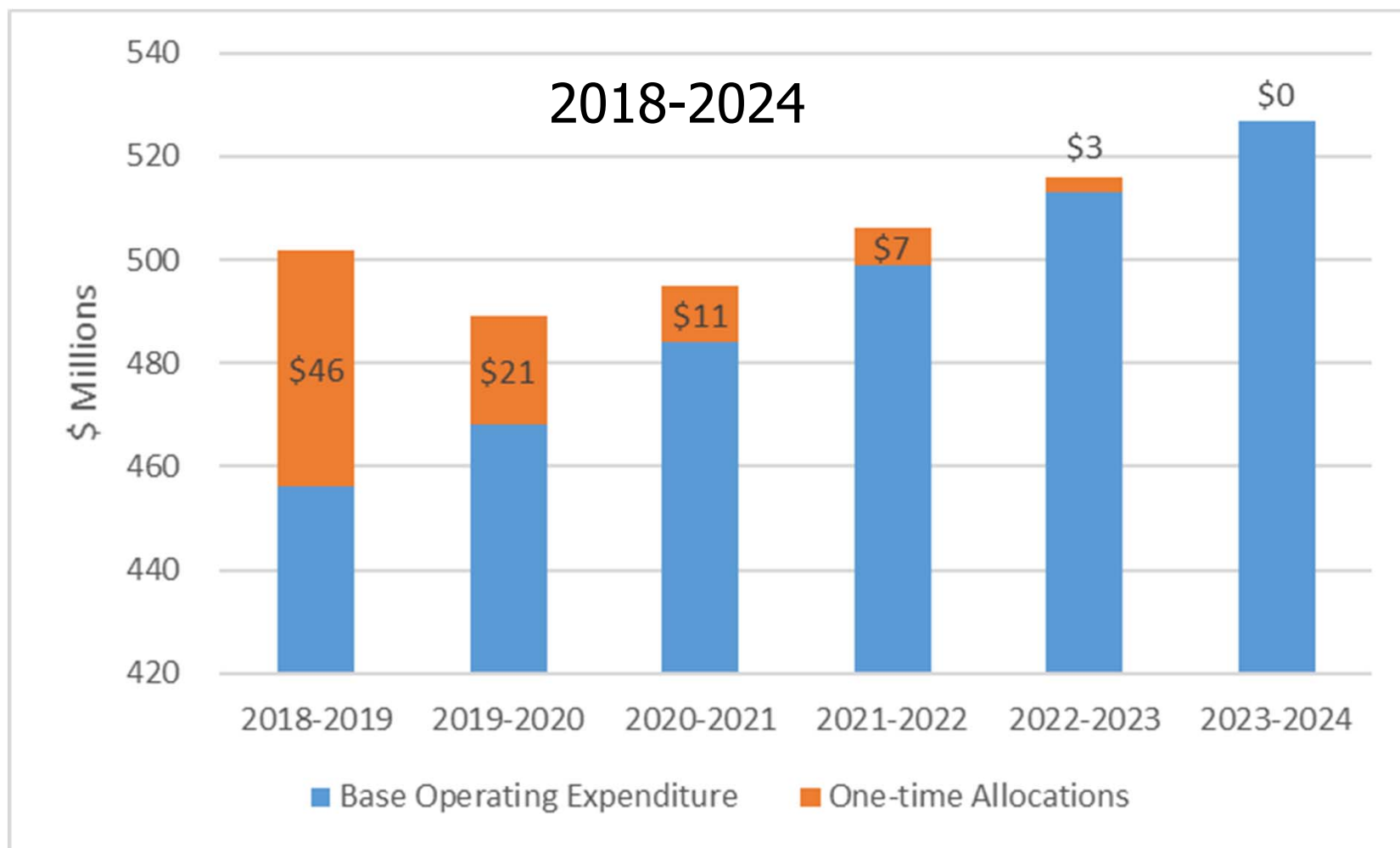
LONG-TERM PROJECTIONS, CAPITAL INVESTMENTS AND RESERVES

Financial Projections 2018-2024

**Assumptions:**

- Tuition to increase by 3% starting 2021-2022, with minor grant increase in 2020-2021
- Expenditure growth is 4%, including increases for non-discretionary items and \$3M annual base budget reductions
- One-time discretionary budget allocations will disappear by 2023-2024

Discretionary Allocation Forecast



Ongoing (approved) Projects:

- Health Science Building 4th & 6th Floor Fit-up: \$ 9.0M
- ARISE Fit-up \$ 8.5M
- Co-Gen Project: \$20.7M
- Business (Nicol) Building: \$65.1M
- Student Design Centre (Mackenzie Addition) \$11.0M

Potential Future Projects:

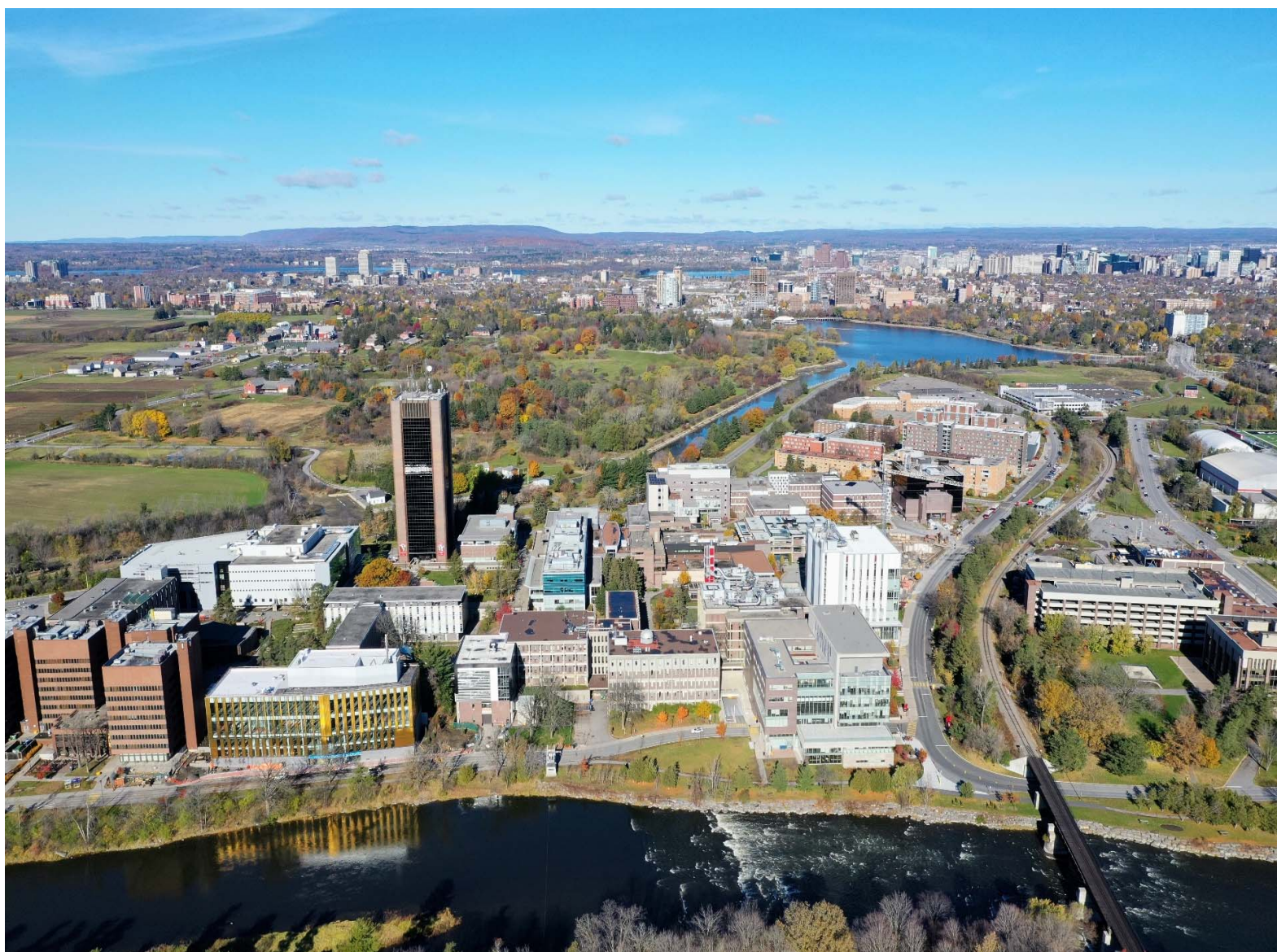
- New Athletic/Wellness Facility (estimate): \$40M
- University (students) Centre Expansion: \$38M
- Replacement of (P9) Parking Garage: \$25M
- New Engineering Building (STEM funding): TBD
- New Student Residence (Ancillary): TBD

Internally Restricted Assets (\$M)

\$Million					
	<u>2014-15</u>	<u>2015-16</u>	<u>2016-17</u>	<u>2017-18</u>	<u>2018-19</u> <u>Forecast</u>
General Appropriations	73	89	117	103	90
Capital Reserves	120	124	121	92	78
Investment Income Equalization	-	-	21	25	23
Pension Liability Reserve	91	92	104	129	129
Ancillary Reserve Fund	19	20	25	33	36
Research Initiatives	21	24	27	39	39
Other	<u>13</u>	<u>16</u>	<u>30</u>	<u>27</u>	<u>20</u>
Total	337	365	445	448	415



Motion to Approve the 2019-2020 Operating Budget as presented



2019-2020 Budget Report

April 2019

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1.0 Introduction

Carleton University's budget planning process formally begins in the fall with input from the Board of Governors and discussions with faculty and staff about emerging priorities and future pressures. The budget continues to be influenced by the university's five-year Strategic Integrated Plan (SIP): *Sustainable Communities – Global Prosperities*. The development of a new SIP will begin in fall 2019 and the university will continue to focus on established priorities to take us through the 2019-2020 budget cycle. As the new SIP comes together, it will create the opportunity for campus stakeholders to participate in setting the vision, goals, and strategic direction for future years.

There has been a lot of change and transition in the 2018-2019 academic year with the arrival of our new President, confirmation of new deans and department heads, and our Provost and Vice-President (Academic). The university's \$300-million capital campaign also came to a successful conclusion. Externally, a new provincial government was installed at Queen's Park, which is expected to impact regulations and funding models.

As well, in 2018, the Provost and Vice-President (Academic) was named the university's Chief Budget Officer and the former Financial Planning Group (FPG) was renamed the Provost Budget Working Group (PBWG). The new committee oversees the annual budget process and is chaired by the Provost and Vice-President (Academic) and co-chaired by the Vice-President (Finance and Administration).

In August 2017, Carleton signed a new Strategic Mandate Agreement ([SMA2](#)) with the Ministry of Training, Colleges and Universities (MTCU), which included a new model for enrolment-based core funding (using a corridor approach). The new funding model also consolidates a number of existing grants into three major categories: Enrolment, Student Success, and Special Purpose.

The SMA2 gathers information on system-wide and institutional initiatives grouped under the broad themes of: a) student experience, b) innovation in teaching and learning excellence, c) access and equity, d) research excellence and impact, and e) innovation, economic development, and community engagement. The previous government had indicated that performance metrics could have a financial impact in SMA3, starting in 2021, currently representing up to 8% of total provincial grant funding for Carleton.

Prior to negotiating the new Strategic Mandate Agreement, Carleton created Strategic Transformation Groups (STGs), which have aligned the university's operating priorities with SMA2 metrics. The work by the STGs in these areas continues. The five STGs are:

- Graduation and retention
- Research culture
- Employability
- Collaboration and community engagement
- Internationalization

Although Carleton is presently in good financial health, maintaining a balanced operating budget within the new provincial funding model will become increasingly challenging.

2.0 The Budget Process

As currently mandated by the Board of Governors, the operating budget must be balanced each year. The university uses a multi-year base budget planning cycle to ensure that this objective is achievable each year over the long term. The operating budget includes both base and one-time discretionary funding. The base budget refers to recurring revenues and expenditures. The fiscal budget includes both the base budget and one-time discretionary revenues and expenditures.

Certain funds are restricted, either internally or externally. Internally restricted funds (e.g., reserves) are established to address future commitments, such as student aid, academic programs, or investments to improve the campus facilities and infrastructure. The university also maintains restricted funds, which a donor/grantor has designated as such. The principal amount of restricted endowment funds must be maintained and the income spent in accordance with specific donor/grantor wishes. Funds may also be designated by the Board of Governors for endowment.

The university's budgeting process is built on the principle of prudent financial management with emphasis on containing costs and investing in strategically focused initiatives. Maintaining sufficient reserves to cover operating contingencies and planned projects provides Carleton with a stable operating environment. The 2019-2020 budget follows this principle.

The Provost and Vice-President (Academic), in conjunction with Financial Services and the Office of Institutional Research and Planning (OIRP), begins the budget planning process in mid- to late fall through the Strategic Integrated Planning Process review.

Once strategic and operating priorities have been set, the financial planning starts with the base budget and includes forecasts of anticipated (non-discretionary) changes in revenues and expenditures. Subsequently, additional recurring (base) and one-time discretionary funds are determined and made available to Resource Planning Committees (RPCs) to pursue the university's strategic and operating goals within the principle of maintaining a balanced budget.

Planning and budgeting include a series of steps that take place at specific times throughout the year, as is outlined in the Carleton University Planning Framework. The process is co-ordinated through the Provost Budget Working Group (PBWG), which is made up of the President, all VPs, and two Deans (on a rotating basis), as appointed by the Provost. The AVP (Financial Services) and AVP (Institutional Research and Planning) are key resources to this committee.

The PBWG relies on extensive input and consultation with various groups across campus, specifically the Strategic Integrated Planning Committee (SIPC). This committee - made up of the President, Vice-Presidents, Assistant and Associate Vice-Presidents, and Deans and some Directors - meets throughout the year to review and discuss strategic initiatives and plans for future ideas that support and advance the university's strategic plan. Consultations with key stakeholders are an important part of the budget planning process. Recommendations from SIPC are assigned to Strategic Transformation Groups (STGs), established to oversee the implementation of specific strategic initiatives, and to inform SIPC about emerging budget priorities.

The President, Vice-Presidents, Deans, University Librarian and the Chief Advancement Officer identify the resources required by their respective RPCs to ensure that priorities are adequately funded. For the faculties, annual allocations are affected by the university's Enrolment-Linked Budget Allocation (ELBA), which provides the faculties with a share of additional revenue received from enrolment growth. The ELBA money is built into the faculty base budget over time and is meant to cover cost increases in teaching/research, lab infrastructure and equipment, as well as student initiatives. The academic and administrative RPCs can carry-forward unspent budgets as a contingency against unexpected change in revenue/expenses, for short-term planning and development needs, and for longer-term strategic initiatives.

The Chief Budget Officer obtains information from numerous sources about the factors that may impact the university's operating budget from one year to the next. This includes such things as

expected enrolment growth, inflation forecasts, future capital investments, and provincial grants. Economic, regulatory and operational risks are also assessed at the enterprise level and reflected in the budget assumptions.

Following the review process, the Operating Budget is prepared and presented to the Finance Committee of Board for review and recommendations to the Board of Governors. The Board of Governors ultimately approves the university's Operating Budget.

Basis of Budgeting

The basis of accounting for the university's operating budget is different than the basis used for financial statement reporting, which is done in accordance with Canadian accounting standards for not-for-profit organizations. The major difference relates to the timing of recognition of certain transactions. For budget purposes, revenues are recognized when received and expenses when paid-out, once eligibility requirements have been met; debt service payments and capital outlays are recognized as expenses; while depreciation and amortization expenses are not recognized as expenses in the budget document.

A complete reconciliation between the financial statements and the budget is provided in the annual Financial Report to the Board of Governors.

Funds Description

The Operating Fund represents the resources available for teaching, student services, and academic and administrative support. It is funded by operating grants, tuition fees and other general revenues. The operating budget is divided into budgetary units called Resource Planning Committees (RPCs), and each RPC is responsible for the financial health of the departments within it.

The Ancillary Fund represents units that are supportive of Carleton's academic and research mission but are not directly related to its primary functions. Each ancillary is required, at minimum, to be self-supporting. This includes units such as Athletics, Health and Counselling Services, Residence Life, Dining Services, Parking Services and the Bookstore.

The Capital Fund covers new construction builds, renovations to existing space, deferred maintenance projects and large capital assets that may be funded by government grants, internal resources, and other funding received or designated for such purposes.

The Research Fund includes the receipt of externally restricted research funds, as well as internally designated research funds to support research and scholarly activities.

Additional funds for which activities are not reflected in this budget report include endowment funds (principal and disbursement funds) and special purpose funds that are not accounted for elsewhere that are funded by contributions for a particular use.

3.0 Goals and Priorities

As part of its annual planning cycle, the Strategic Integrated Planning Committee (SIPC) met in January to review Carleton's strategic direction and identified goals and objectives for the upcoming budget year. For 2019-2020, it was agreed that the work of the Strategic Transformation Groups (STGs) would continue to include graduation and retention rates, research culture, and employability. Additional STGs were established to address collaboration and community engagement, and to develop an internationalization strategy.

The university will also continue to review its strategic goals and priorities within its available resources to ensure an ongoing balanced budget. To that end, Carleton uses a multi-year financial plan to assess base funding requirements of the various RPCs, including identifying recurring expenditures presently funded through one-time fiscal allocations.

2019-2020 Priorities and Issues

The operating priorities for the coming year are influenced by the Carleton Strategic Integrated Plan (SIP) and the Strategic Mandate Agreement (SMA2). The SMA2 contains the shared objectives and priorities between the Ontario Government and Carleton University, which provides fixed funding grants regardless of enrolment growth.

The shared university objectives and priorities for 2019-2020 include:

- Support improvement in areas where we have key metrics in SMA2; in particular, improving student retention and graduation rate and increasing experiential learning and other high impact practices that enhance the student experience and foster success after graduation.
- Enhance research excellence and impact. Priority will be given to investments that promote the development of interdisciplinary research clusters that build on Carleton's existing disciplinary and interdisciplinary strengths and that are likely to lead to significant external research funding, positive economic and social impact, and national and international recognition.
- Foster innovation, industry partnerships and social and economic development at the local, national and international level.
- Support community engagement and in particular the revitalization of our relationship with Indigenous peoples.
- Make Carleton more effective and efficient in achieving its mission including holistic integration of digital technologies, development of optimal facilities, identification and fostering of talent, and other professional and administrative functions.

In addition, as the university looks to the longer term, consideration will be given to:

- Diversifying and increasing revenue from sources other than the provincial government, and
- Defining our story more sharply and amplifying our communications so as to raise our profile and reputation both locally and nationally.

Budget Pressures

As previously noted, the Ontario government announced a 10% reduction to all domestic tuition fees for 2019-2020, followed by a tuition freeze in 2020-2021. In the first year, this change represents a \$20 million tuition revenue loss; however, with the flow-through of previous enrolment growth and international fee increases, the net impact will amount to \$13 million in 2019-2020. To address this shortfall and free up resources for strategic priorities, the university has applied a 2% base cut to all RPC operating budgets, amounting to \$5.5 million.

Budget pressures will continue in the 2020-2021 fiscal year, with the announcement of a tuition freeze on domestic tuition fees. Given the projected growth in operating expenses, the university is expecting that it will require mandated budget reductions from RPCs in each of the next four years.

With SMA2, the provincial government enrolment funding is capped for the period 2017-2018 to 2019-2020. Government grants represent 35% of Carleton's operating revenue (budget 2019-2020). As a result, there is no assurance that revenues will be sufficient to cover annual increases for salaries, benefits, and operating expenses in the longer run.

As well, starting in 2020-2021, some portion (currently up to 8% or \$13 million) of enrolment grant funding may be at risk, subject to meeting Carleton's performance metrics (SMA3). Previous to SMA2, domestic tuition fees had also been subject to a regulated cap with 2018-2019 rates averaging 3%. That tuition framework ended in 2018-2019.

In past years, the university was able to manage annual cost increases through growth of both domestic and international students. In the short term, alternate sources of revenue will be explored. We also expect that, demographic pressures will subside, which should alleviate some of the current constraint on revenue.

We expect that costs will continue to rise faster than revenue. Our projections indicate that operating revenue will rise by about 1-2% per year, while our base expenditures will increase by 3-4%. On that basis, our base operating surplus, required to fund one-time discretionary expenditures, will disappear by 2023-2024. Diversifying revenue sources and promoting enrolment growth will become essential to maintaining a balanced budget.

Performance Measures

Carleton's Strategic Integrated Plan (2013-2018) contains many initiatives and performance measures to meet specified targets in areas of teaching and research excellence, student and employee satisfaction, and organizational strength. These will be consolidated into the SMA2 system-wide and institutional performance metrics referenced earlier in the **Priorities and Issues** section.

Carleton's Strategic Mandate Agreement 2017-2020, which details SMA2 metrics and targets, can be found at: carleton.ca/provost/wp-content/uploads/Carleton-University-SMA-2017.pdf.

Carleton University continues to develop the annual budget document to facilitate greater comprehension of the allocation of resources towards strategic goals and priorities, and the rationale behind these allocations. To this end, supplemental information and tables are provided along with the operating budget.

4.0 Financial and Budget Policies

Major financial policies are approved by the appropriate authority, such as: Board of Governors, Carleton University's Senior Management Committee, and the Carleton University Retirement Plan Pension Committee. Along with external regulations (GAAP, Broader Public Sector Directive) these policies enhance the internal control structure, as well as the preparation of the budget and financial reports of the university. The following is a listing and brief description of policies and guidelines that provide context for planning and developing the budget.

Balanced Budget

As currently mandated by the Board of Governors, the operating budget must be balanced each year. The university uses a multi-year base budget planning cycle to ensure that this objective is achieved each year over the long term. There are instances where the university might plan to spend fund balances/surpluses from previous years on one-time or non-routine expenditures.

Revenue Projections

Revenues are budgeted conservatively with the intent to maximize government grant revenues through the successful achievement of SMA2 objectives and priorities. Revenues directly attributable to an RPC remain with the RPC.

Risk Management

Carleton University is committed to risk management on a university-wide basis as detailed in the university's Enterprise Risk Management Program's "Risk Management Manual". The Board of Governors requires an annual audit of the university's financial statements by an independent certified public accounting firm hired through a public bidding process. In addition, Carleton University employs a third-party internal auditor to conduct, on an ongoing basis, internal management and operational audits based on a risk model approved by the Board of Governors.

Debt Policy

Externally-held capital debt may only be incurred with approval from the Board of Governors. The university is committed to undertaking debt only when doing so is the most advantageous financing alternative available in achieving the university's strategic goals.

Investment Policies

Carleton University Retirement Plan's Statement of Investment Policies and Procedures addresses the manner in which the Retirement Plan assists in providing plan beneficiaries with a financially secure retirement income at a reasonable cost. The Statement of Investment Policies and Procedures must be reviewed and approved annually by the Board of Governors.

Operating and Capital Reserves

Carleton University recognizes that reserves are the cornerstone of financial flexibility to manage risks inherent in long-term financial planning. Reserves are held centrally and within academic units to support specific strategic initiatives as well as economic uncertainties. Appropriated reserves are approved by the Finance Committee and ultimately the Board of Governors are governed by the University Operating and Capital Reserves Policy.

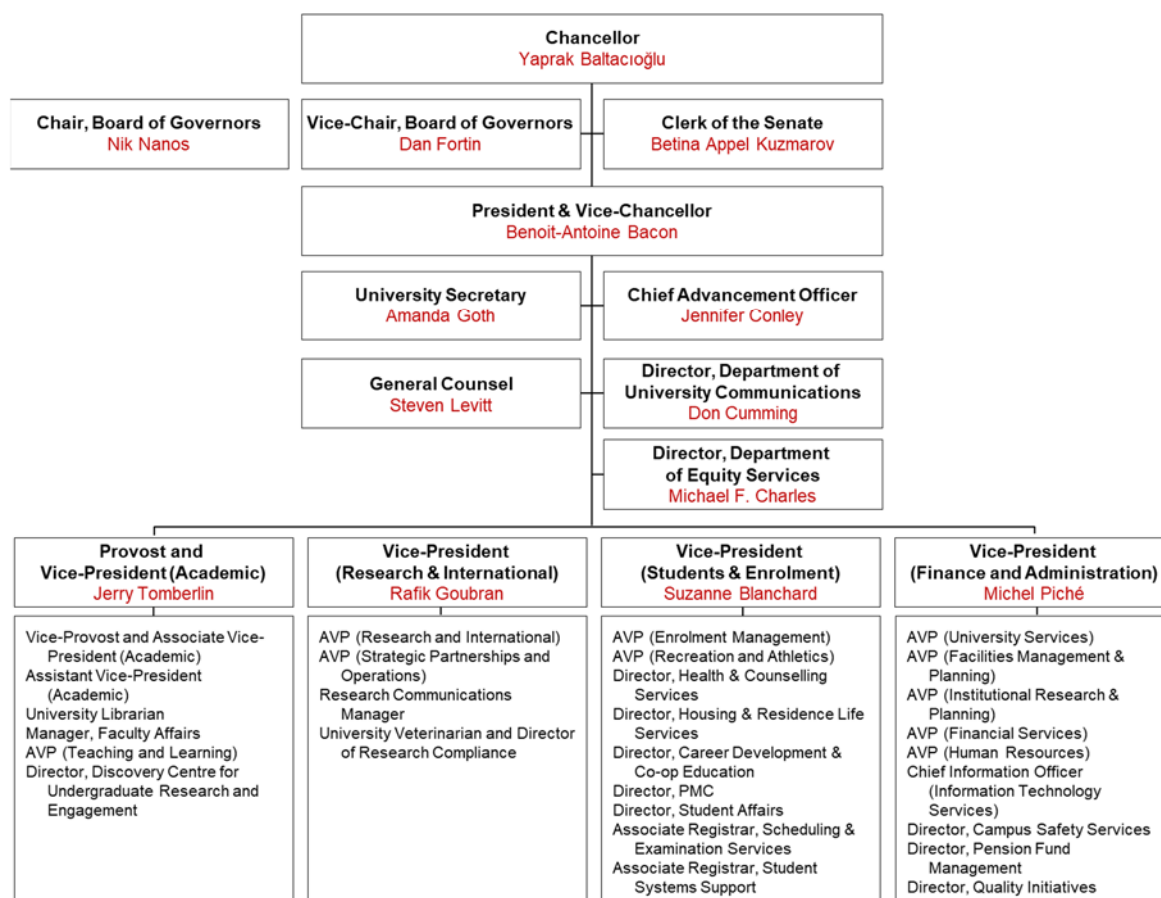
Interfund Fund Transfers

Subsequent to the adoption of the annual budget, it may be necessary to permit transfers of budget amounts between funds. All budget transfers must be fully documented, as they need to adhere to established approval levels.

Broader Public Sector Expenses Directive

As a designated BPS organization, Carleton University must comply with this provincial legislation defining the requirements in establishing expense rules for expenses reimbursed from public funds.

5.0 Organizational Chart



List of Resource Planning Committees (RPC)

- Faculty of Arts and Social Sciences (FASS)
- Sprott School of Business
- Faculty of Science
- Faculty of Engineering and Design
- Faculty of Public Affairs
- Library
- Office of the Provost and Vice-President (Academics)
- Office of the Vice-President (Research and International)
- Office of the Vice-President (Students & Enrolment)
- Office of the Vice-President (Finance & Administration)
- Office of the President
- Department of University Advancement

6.0 The Operating Budget

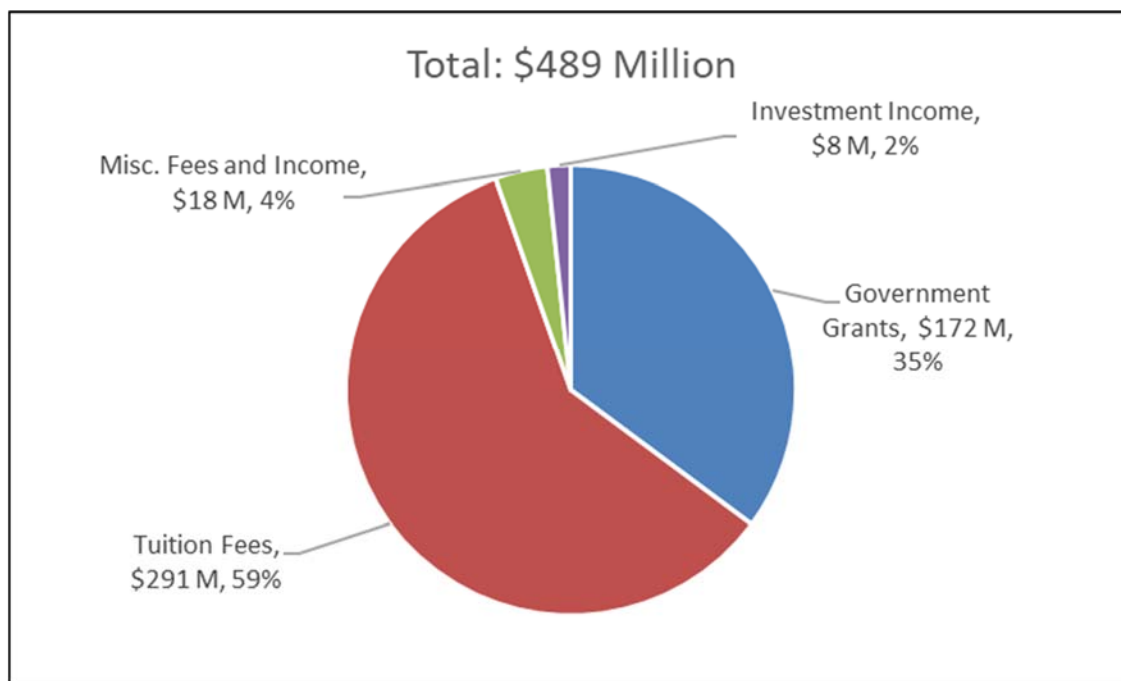
In 2019-2020, Carleton projects to generate a balanced operating budget, with revenues and expenditures of \$489.1 million, compared to \$504.6 million in 2018-2019. This section provides detailed information on the components of revenues and expenditures. Appendix A and B provides further details on the operating budget.

In summary:

	2018-2019 Budget	2018-2019 Projected Actuals	2019-2020 Proposed Budget
	(\$000's)	(\$000's)	(\$000's)
Income	504,645	506,718	489,132
Expenditures and Transfers	504,645	498,818	489,132
Net Result	-	7,900	-

The operating fund is supported by four key revenue sources:

- **Tuition fees** – While the government mandated a 10% fee cut to all domestic tuition rates, this still represents the university's largest funding source at approximately 59%.
- **Government operating grants** – The Ontario government is the second largest source of funding, with grants comprising 35% of operating funding. This funding includes the core operating grant and performance grants, as well as special purpose grants. Also included in operating grants is the funding for federal and provincial research overheads, at approximately 1% of total operating revenue.
- **Miscellaneous fees and income** – These revenues represent 4% of the operating revenue budget and relate mostly to application fees, deferred payment and late registration, overhead recoveries and departmental income.
- **Investment income** – Income generated on cash investments and internally financed loans provide approximately 2% of the annual operating revenue budget.



The following sections compare the 2019-2020 Proposed Budget with the 2018-2019 Approved Budget.

6.1 Operating Income

Operating income is expected to total \$489,132,000, \$15,513,000 less than the 2018-2019 Approved Budget and \$17,586,000 less than the projected 2018-2019 results. The \$15,513,000 is the sum of: decreased grant income of \$215,000; decreased tuition income of \$15,900,000; increases in miscellaneous fees and income of \$340,000; and an increase of \$262,000 in departmental income. Each category is reviewed below.

6.2 Government Operating Grants

Government grants for 2019-2020 are projected to be \$215,000 below that in the 2018-2019 Approved Budget.

	2018-2019 Budget	2018-2019 Projection	2019-2020 Proposed Budget	Budget Change
	(\$000's)	(\$000's)	(\$000's)	(\$000's)
Core Operating Grant	153,816	153,816	153,816	-
International Student Recovery	(2,735)	(2,696)	(2,696)	39
Accessibility Fund	-	-	-	-
Access to Higher Quality Education	-	-	-	-
Municipal Tax Funding	1,609	1,609	1,648	39
Performance Funding	13,565	13,172	13,172	(393)
Provincial Research Overheads	590	590	590	-
Federal Research Overheads	4,557	4,557	4,557	-
Other grants	1,205	1,305	1,305	100
Grants offset by additional expense	-	4,225	-	-
Total	172,607	176,578	172,392	(215)

In August 2017, the Ministry of Training, Colleges and Universities (MTCU) implemented a new funding model that is to provide predictable, enrolment-based core funding based on a corridor funding system. The design of the new funding model is based on realigning a number of existing grants and includes three major components: Enrolment, Student Success, and Special Purpose. There have been no changes to this funding model for the 2019-2020 fiscal year.

The overall decrease in the proposed grant income budget is the result of a small variance in the performance-related funding, offset by a small change in the International Student Recovery and minor increases in other grants.

Other grants include Access for the Disabled and Credit Transfer funding, while grants offset by additional expense relate to special purpose grants received during the year from the Ministry for targeted initiatives, such as student success and financial support. The proposed opening budget for 2019-2020 does not include amounts for these restricted grants, and will be adjusted during the year as amounts are confirmed and received.

6.3 Tuition Fees

On January 17, 2019, the Ministry of Training, Colleges and Universities announced a new tuition framework that would see domestic tuition fee decrease by 10% in 2019-2020, and then frozen for 2020-2021. The guidelines still allow for tuition fee differentiation based on program and program year of study, and does not apply to international tuition fees.

As the international fees are not regulated, fees each year are set using a number of factors, including comparison with other institutions, recruitment strategies and impact on the existing

international study body. International tuition fee increases for 2019-2020 are identical to those applied in 2018-2019 and will increase between 0% and 8%.

Fee increases, based on these guidelines, were approved by the Board of Governors at its March 28, 2019 meeting.

The following compares tuition revenue by category from the Approved 2018-2019 Budget to the 2019-2020 Proposed Budget:

	2018-2019 Budget	2018-2019 Projection	2019-2020 Proposed Budget	Budget Change
	(\$000's)	(\$000's)	(\$000's)	(\$000's)
Undergraduate Fees	247,236	246,140	234,971	(12,265)
Summer Session Fees	21,264	21,668	21,133	(131)
Graduate Fees	38,500	36,492	34,996	(3,504)
Total	307,000	304,300	291,100	(15,900)

Tuition revenues projected in the Proposed Budget total \$291,100,000, which is \$15,900,000 less than those presented in the 2018-2019 Approved Budget. The lower than budget 2018-2019 tuition fee projections of \$304,300,000 accounts for \$2,700,000 of this decrease, while the remaining negative variance of \$13,200,000 is due to the 2019-2020 fee decreases and enrolment growth. It is assumed that in fall 2019, Carleton will have a first-year, full-time enrolment of 6,463 students, an increase of 188 students from fall 2018.

The detailed tuition rates can be found in Appendix G.

6.4 Miscellaneous Fees and Income

Miscellaneous fees and income are expected to total \$11,081,000, which is \$340,000 more than that in the 2018-2019 Approved Budget. The main components are as follows:

	2018-2019 Budget	2018-2019 Projection	2019-2020 Proposed Budget	Budget Change
	(\$000's)	(\$000's)	(\$000's)	(\$000's)
Application Fees	2,335	2,608	2,605	270
Deferred Payment/Late Registration	2,345	2,395	2,400	55
Omnibus Fee	1,085	1,125	1,125	40
Other Fees and Charges	378	415	403	25
Miscellaneous fees subtotal	6,143	6,543	6,533	390
Overhead Recoveries	3,113	3,265	3,077	(36)
Rental of Facilities	776	776	776	-
Commission Income	175	215	200	25
Library Fines and Fees	50	20	10	(40)
Unrestricted Donations	75	75	75	-
Other	409	441	410	1
Miscellaneous income subtotal	4,598	4,792	4,548	(50)
Total	10,741	11,335	11,081	340

The increase in miscellaneous fee revenue, particularly application fee revenue, relates mostly to enrolment growth as well as fee increases approved by the Board of Governors in March 2019. The decrease in the library fines budget relates to the elimination of late fees.

6.5 Short-Term Investment Income

Short-term investment income is expected to total \$8,250,000 for the 2019-2020 fiscal year.

The breakdown is as follows:

	2018-2019 Budget	2018-2019 Projection	2019-2020 Proposed Budget	Budget Change
	(\$000's)	(\$000's)	(\$000's)	(\$000's)
Investment income on cash flows	6,670	6,911	6,950	280
Endowment income*	260	273	270	10
Interest charges to ancillaries and internal loans	1,320	1,066	1,030	(290)
Total	8,250	8,250	8,250	-

* The endowment income included in the operating budget relates to those endowments for which a specific purpose has not been designated by the donor (e.g., unrestricted).

In 2015, the Investment Committee decided to invest \$100 million of available operating cash in equity funds. To date, this decision has yielded higher than expected results; however, the equity funds are more susceptible to market risks. To mitigate this risk and shield the operating budget from large variations in actual results, the short-term investment income budget will be set at \$8,250,000 and any variation in actual investment income earned will be appropriated to, or drawn from, an investment income equalization fund. As at May 1, 2018, the investment income equalization fund had a balance of \$25.4 million.

6.6 Departmental Income

Departmental income represents sales of goods and services by departments (e.g., the rental of equipment by Instructional Media Services), as well as special instructional fees related to specific departments (e.g., Centre for Initiatives in Education workshop fees) to external users.

The table below outlines the various sources of departmental income:

	2018-2019 Budget	2018-2019 Projection	2019-2020 Proposed Budget	Budget Change
	(\$000's)	(\$000's)	(\$000's)	(\$000's)
Co-op fees	2,543	2,413	2,686	143
CUOL sales and rentals	950	1,116	950	-
CIE workshop fees	877	843	1,022	145
Fall student orientation	525	580	525	-
ITS sales and rentals	331	312	336	5
General sales and services	253	325	261	8
Externally funded salaries	219	259	223	4
IMS sales and rentals	116	147	116	-
EDC mini courses	120	120	120	-
Trademark advertising	25	-	25	-
International Sponsorships	88	99	45	(43)
Other income offset by additional expense	-	41	-	-
Total	6,047	6,255	6,309	262

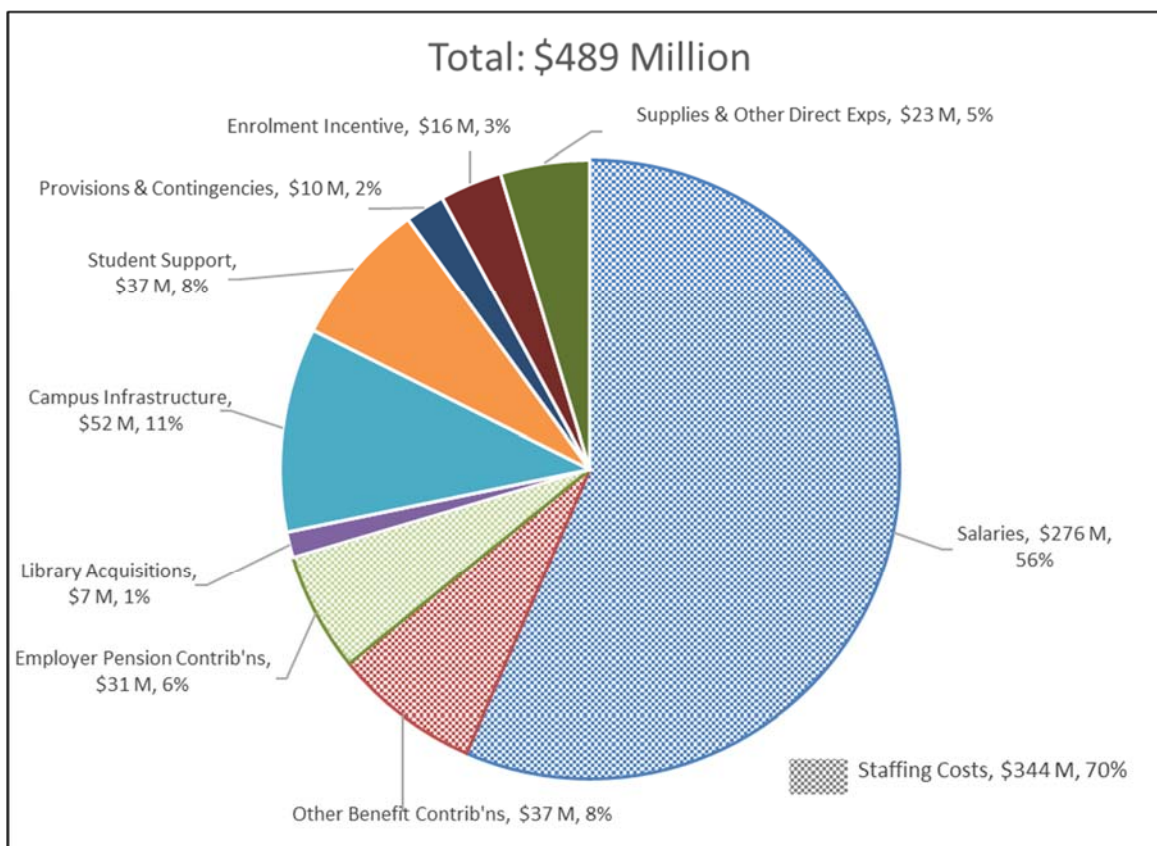
The increases in Co-op and CIE fee revenue is mostly a reflection of enrolment growth, with only a minor rate increase. The other income included in the projected results of 2018-2019 represent income specific to departments that is unexpectedly received during the year, such as directed donations, and is therefore not included in the opening budget.

6.7 Operating Expenditures

The operating expenditures proposed for 2019-2020 amount to \$489,132,000 compared to \$504,645,000 in the 2018-2019 approved budget and \$498,818,000 in projected 2018-2019 expenditures.

The planned operating expenditures are budgeted in the following expense categories:

- **Salaries and benefits** – Essential to the university's mission, compensation for its people is by far the most significant expense category at 70% of the total operating expense budget.
- **Campus infrastructure** – The next most significant category at 11%, relates to expenditures for maintenance, renovations, facilities, utilities and equipment, all of which are essential for continuing operations.
- **Student support and enrolment incentives** – Equally important, also at 11%, are budget funds earmarked for costs associated with enrolment growth and student support, such as scholarships, bursaries and awards provided by the university in addition to the government's Ontario Student Assistance Program (OSAP).
- **Other expenditures** – The remaining areas of expenditure, amounting to 8% of the operating budget and include library acquisitions, research support, campaign matching funds, travel and supplies, and contingencies.



6.8 Compulsory Increases and Discretionary Resource Allocation

The detailed allocation of resources, including provisions and contingencies, for 2019-2020 is shown below. As initiatives requiring additional resources can encompass several types of expenditures, resource allocations have been grouped by RPC and initiative.

	<i>Budget Reduction Applied</i>	<i>Base Budget Allocation</i>	<i>Fiscal Budget Allocation</i>
	(\$000)	(\$000)	(\$000)
a) Faculty of Arts and Social Sciences	(1,053)	311	719
b) Faculty of Public Affairs	(725)	404	373
c) Sprott School of Business	(264)	-	250
d) Faculty of Science	(732)	2,134	3,409
e) Faculty of Engineering and Design	(773)	2,029	2,029
f) Provost and Vice-President (Academic)	(162)	377	1,099
g) Vice-President (Students and Enrolment)	(376)	245	2,265
h) Library	(353)	188	383
i) Vice-President (Research and International)	(101)	380	1,330
j) Vice-President (Finance and Administration)	(731)	363	4,068
k) President	(84)	450	1,150
l) Advancement	(104)	150	350
m) University Expense Budgets	-	3,437	12,076
Provisions and Contingencies	-	11,054	13,167
Total	(5,458)	21,522	42,668

Due to the government's requirement to reduce domestic tuition fees by 10%, the university mandated a budget reduction of 2% from all RPCs base expenditures. These reductions amounted to \$5,458,000.

Allocations provided under both base and fiscal budgets have an ongoing and recurring nature. Allocations made under the fiscal budget only represent discretionary expenditures that are reviewed annually.

	<i>Budget Reduction Applied</i>	<i>Base Budget Allocation</i>	<i>Fiscal Budget Allocation</i>
	(\$000)	(\$000)	(\$000)
a) Faculty of Arts and Social Sciences			
Budget reduction applied	(1,053)		
Enrolment Incentive allocation		290	290
Professional Development Institute		-	250
Faculty workload		-	95
Experiential learning coordinator		-	63
Accessibility support		21	21
	(1,053)	311	719

New budget allocations to the Faculty of Arts and Social Sciences support Carleton's key metrics including experiential learning, through the placement of an Experiential Learning Co-ordinator, as well as the metrics of retention and graduation through additional accessibility support.

Investment in the Professional Development Institute provides the opportunity to diversify revenue sources through the delivery of short-term, non-credit courses.

	<i>Budget Reduction Applied</i>	<i>Base Budget Allocation</i>	<i>Fiscal Budget Allocation</i>
	(\$000)	(\$000)	(\$000)
b) Faculty of Public Affairs			
Budget reduction applied	(725)		
New faculty positions		303	-
Enrolment Incentive allocation		1	1
Graduate program implementation		70	60
Canada Research Chair		-	182
Support position, 0.5 FTE		30	30
International internships		-	100
	(725)	404	373

New budget allocations to the Faculty of Public Affairs include continued commitment to the Bachelor of Media Production and Design, and the joint (with the Faculty of Arts and Social Sciences) graduate program in Migration and Diaspora Studies.

	<i>Budget Reduction Applied</i>	<i>Base Budget Allocation</i>	<i>Fiscal Budget Allocation</i>
	(\$000)	(\$000)	(\$000)
c) Sprott School of Business			
Budget reduction applied	(264)		
First year student experience and retention		-	150
Brand alignment		-	100
	(264)	-	250

New budget allocations to the Sprott School of Business support a number of initiatives in first-year student experience to improve retention and engagement.

	<i>Budget Reduction Applied</i>	<i>Base Budget Allocation</i>	<i>Fiscal Budget Allocation</i>
	(\$000)	(\$000)	(\$000)
d) Faculty of Science			
Budget reduction applied	(732)	-	-
Enrolment Incentive allocation		2,134	2,134
Health Science building fit-up		-	1,075
New revenue generating initiatives		-	200
	(732)	2,134	3,409

New budget allocations to the Faculty of Science support the fit-up costs for floors 4 and 6 of the Health Sciences Building to accommodate increased enrolment and laboratory accreditation requirements. Support is also provided to develop full-cost-recovery (revenue generating) master's programs.

	<i>Budget Reduction Applied</i>	<i>Base Budget Allocation</i>	<i>Fiscal Budget Allocation</i>
	(\$000)	(\$000)	(\$000)
e) Faculty of Engineering and Design			
Budget reduction applied	(773)		
Enrolment Incentive allocation		2,029	2,029
	(773)	2,029	2,029

The Faculty of Engineering and Design uses resources provided by its Enrolment-Linked Budget Allocations (ELBA) to fund its programs and does not require additional funding from the university.

	<i>Budget Reduction Applied</i>	<i>Base Budget Allocation</i>	<i>Fiscal Budget Allocation</i>
	(\$000)	(\$000)	(\$000)
f) Provost and Vice President (Academic)			
Budget reduction applied	(162)		
Indigenous faculty positions		247	-
Administrative positions		130	130
Student success academic initiatives		-	550
CUISIC support		-	120
Discovery Centre: Students as Partners		-	100
Stipend and award support		-	90
Community engagement support position		-	59
Scholars at Risk		-	50
	(162)	377	1,099

New budget allocations to the Office of the Provost & Vice-President (Academic) are focused on improving student success metrics by initiatives that include collaborative strategic academic activities with the faculties, investment in Carleton University's Indigenous Strategic Initiatives Committee, and expanding the Internship – Carleton University Research Experience Undergraduate Scholarship (I-CUREUS) program.

	<i>Budget Reduction Applied</i>	<i>Base Budget Allocation</i>	<i>Fiscal Budget Allocation</i>
	(\$000)	(\$000)	(\$000)
g) Vice-President (Students and Enrolment)			
Budget reduction applied	(376)		
Undergrad recruitment activities		-	600
International travel bursaries		-	300
CUAEL support positions and wage subsidies		-	400
Accessible career transition advisor		75	75
Cooperative education positions, self-funded (\$140k)		-	-
Sexual violence and special case advisor		95	170
Mental health counsellors, student engagement and dog therapy		75	255
Support certificate staff training		-	75
Career Curriculum specialist		-	80
Internship and Global Partnership coordinator		-	80
ACE graduation initiatives, advising		-	150
READ program and research officer		-	80
	(376)	245	2,265

New budget allocations to the Office of the Vice-President (Students and Enrolment) support key metrics in student retention, engagement, and success. Investments in student mental health endeavours reinforce improved performance metrics.

	<i>Budget Reduction Applied</i>	<i>Base Budget Allocation</i>	<i>Fiscal Budget Allocation</i>
	(\$000)	(\$000)	(\$000)
h) Library			
Budget reduction applied	(353)		
Collections		188	188
Digital infrastructure		-	120
Scival research tool		-	75
	(353)	188	383

New budget allocations to MacOdrum Library continue to support essential library collections and digital resources.

	<i>Budget Reduction Applied</i>	<i>Base Budget Allocation</i>	<i>Fiscal Budget Allocation</i>
	(\$000)	(\$000)	(\$000)
i) Vice-President (Research and International)			
Budget reduction applied	(101)	-	-
Institutional research facilitators		380	380
Multi-disciplinary clusters and research support		-	600
ARISE program initiation		-	350
	(101)	380	1,330

New budget allocations to the Office of the Vice-President (Research and International) are made to enhance research excellence and impact by promoting the development of interdisciplinary research clusters that build on Carleton's existing strengths and are likely to lead to significant external research funding and reputation.

	<i>Budget Reduction Applied</i>	<i>Base Budget Allocation</i>	<i>Fiscal Budget Allocation</i>
	(\$000)	(\$000)	(\$000)
j) Vice-President (Finance and Administration)			
Budget reduction applied	(731)		
Research IT support		-	1,311
IT support for security, risk assessment, fees and services		-	600
Compensation, talent acquisition, payroll positions		285	285
Consulting fees; job evaluation, benefits, software		-	132
HR operating and Carleton Appreciation Day		-	96
Sustainability improvements		-	480
Custodial and FMP workflow positions		-	250
Maintenance contracts; regulatory and compliance issues		-	200
Financial systems, research accounting, payables positions		-	201
SOS International		-	50
Business intelligence application developer		78	78
Fire and life safety officer		-	85
Card access project (Yr 2 of 5)		-	300
	(731)	363	4,068

New budget allocations to the Office of the Vice-President (Finance and Administration) support initiatives increasing effectiveness and efficiencies in its operations. Investments are made in the areas of security, IT infrastructure renewal, HR service delivery model, and sustainability initiatives.

	<i>Budget Reduction Applied</i>	<i>Base Budget Allocation</i>	<i>Fiscal Budget Allocation</i>
	(\$000)	(\$000)	(\$000)
k) President			
Budget reduction applied	(84)		
Communication and marketing positions		200	300
Branding post-market research		-	300
Legal and Board of Governors positions		150	150
Government relations (3-year pilot project)		-	300
Equity advisor and position enhancement		100	100
	(84)	450	1,150

New budget allocations to the Office of President support priorities in building communications, marketing and branding capacity. Additionally, investments in legal and governance functions are made to ensure regulatory requirements are met.

	<i>Budget Reduction Applied</i>	<i>Base Budget Allocation</i>	<i>Fiscal Budget Allocation</i>
	(\$000)	(\$000)	(\$000)
l) Advancement			
Budget reduction applied	(104)		
Senior Development Officers (OVPRI, OVPSE)		150	150
Hub for Good operating support		-	200
	(104)	150	350

New budget allocations to Advancement are made to diversify revenue streams through the provision of research and community engagement solutions for campus partners.

	<i>Budget Reduction Applied</i>	<i>Base Budget Allocation</i>	<i>Fiscal Budget Allocation</i>
	(\$000)	(\$000)	(\$000)
m) University Expense Budget changes			
Student support		1,050	1,050
Benefits		1,782	1,993
Utilities		-	(1,320)
Joint program costs		229	229
Memberships		115	115
Convocation		110	110
Insurance		90	90
Cleaning		70	70
Interfund transfers		(149)	(1,149)
Facility upgrades		-	7,200
IT information systems		-	3,548
Other		140	140
	-	3,437	12,076

University Budgets represent expenditure items that are integral to the operations of the university, yet are often out of the direct control of the units that manage them. Examples include student support, utilities, facilities upgrade and IT systems.

Most increases to university budgets relate to normal annual increases; however, there is a significant base increase required in the benefits budget due to Ontario's new pension reform and the mandatory contribution to the Pension Board Guarantee Fund. Investments in scholarships and bursaries at both the undergraduate and graduate level are also included.

Allocations of one-time fiscal budget to facility upgrades (e.g., classrooms, washrooms, lab and study space) relate to improving student experience, while investments in IT infrastructure for research, teaching and administration support the priorities of research excellence and effective and efficient administrative functions.

6.9 Provisions and Contingencies

The 2019-2020 Proposed Budget contains the following provisions and contingencies:

	<i>Existing Base Budget</i>	<i>New Allocations</i>	<i>2019-2020 Proposed Budget</i>
	(\$000's)	(\$000's)	(\$000's)
a) Contingencies	3,979	10,317	14,296
b) Enrolment incentive (ELBA)	14,647	737	15,384
c) Pension plan deficits	7,000	-	7,000
d) Building capital projects	-	2,113	2,113
Total provisions and contingencies	25,626	13,167	38,793

- a) The combined contingencies total \$14.3 million and relate mostly to foreseen requirements that cannot be immediately quantified.
- b) In 2009-2010, the university introduced a plan whereby faculties would be rewarded for enrolment growth. The plan calls for the resources to be built into the faculty base over time. The amount in the contingency represents an undistributed base amount from previous years, as well as an estimate of the enrolment growth incentive for the 2019-2020 academic year.
- c) The status of the pension plan remains a financial liability for the university. After three rounds of temporary solvency funding relief spanning a decade, the Province introduced new pension plan funding rules on May 1, 2018, which will apply to the plan's July 1, 2019 valuation. Under these new rules, solvency funding will not be required, as our funded status is above 85%; however, a new "Provision for Adverse Deviation" (PfAD) will be required to be fully funded. It is anticipated that the PfAD for Carleton University's plan will be in the \$130.0 million range. The university currently has a pension reserve of \$129 million to fund this liability.

Preliminary analysis suggests that special pension payments will be \$19.0 million compared to \$13.5 million under the existing temporary solvency relief program, but lower than the \$40.0 million under the old rules with no new temporary relief.

- d) The university has allocated \$2.1 million to the capital reserve to fund new buildings on campus. With this contribution, the reserve is expected to be approximately \$80.0 million as of May 1, 2019, and will support the continuing construction on the Nicol and ARISE buildings, as well as provide funding for anticipated future projects such as the Campus Transportation Plan and Wellness Centre.

7.0 Five-Year Financial Outlook

The university uses a five-year rolling forecast to inform the allocations for the upcoming budget year. The premise of the model is that the budget must break even in every year. It is expected that ongoing base expenditures will equal ongoing base revenues in year five of the plan.

On the revenue side, the enrolment projections included in the plan are based on the 2017 base year, which is held constant over the period. Tuition fee rates are assumed to increase by an average of 3% starting in 2021-2022, after the current framework expires.

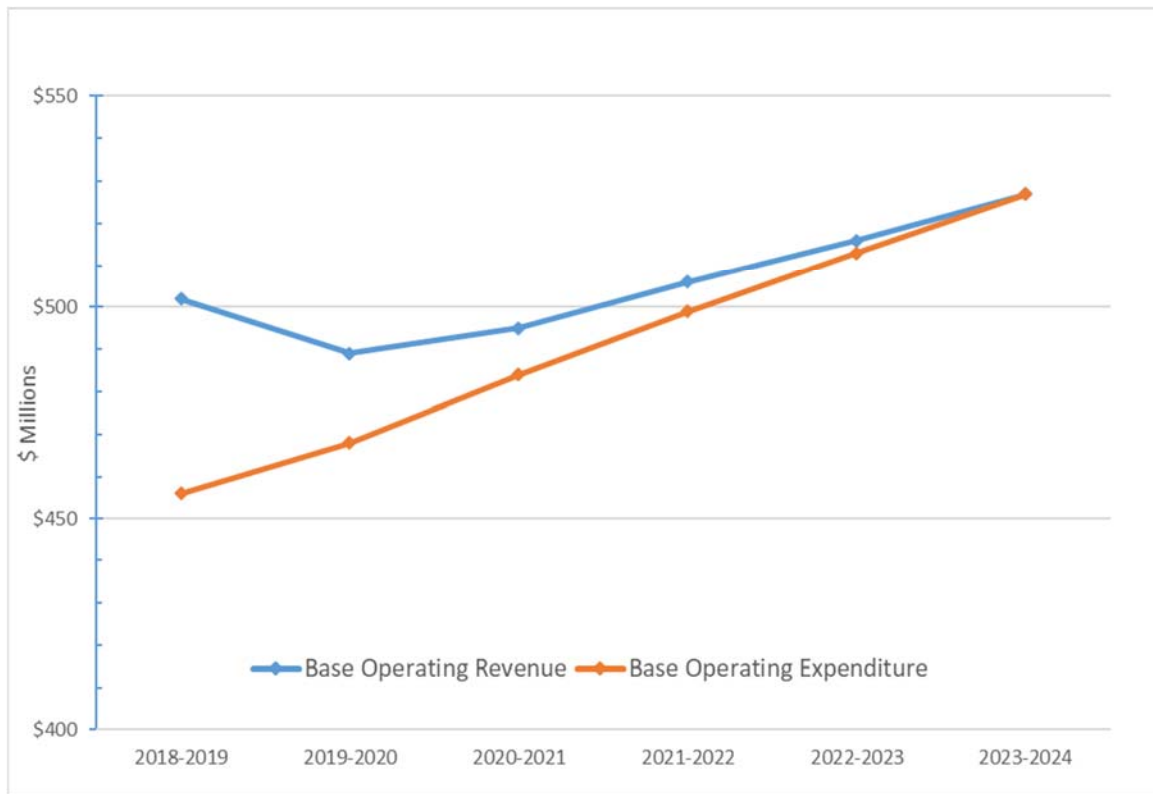
Core operating grant revenue are assumed to remain constant and that the MTCU will continue to fund approved graduate enrolment growth. This amounts to \$2.1 million over two years.

Expenditure increases for non-discretionary and/or strategic university budgets (e.g., utilities, student support) have been included. Compensation increases are based on collective agreements where applicable and projections for those years not covered by collective agreements.

The result of applying these assumptions is that expenditures will increase at a faster rate than revenues. In order to achieve a break-even result in year five of the plan, cuts of approximately \$3.0 million (1% of faculty and services budgets) are required in each of the next four years.

The long-term plan is based on conservative assumptions, and will be revisited in the fall of 2019, once actual enrolment is known. Favorable changes to the forecast would be influenced by enrolment growth, higher non-regulated revenues, and operating efficiencies. Unfavorable changes would be impacted by a continuing tuition fee freeze, funding grant reductions or higher than planned cost increases.

	2018-2019	2019-2020	2020-2021	2021-2022	2022-2023	2023-2024
	<i>Base Budget</i>	<i>Base Budget</i>	<i>Outlook</i>	<i>Outlook</i>	<i>Outlook</i>	<i>Outlook</i>
	(\$M's)	(\$M's)	(\$M's)	(\$M's)	(\$M's)	(\$M's)
Base Revenues						
Tuition	304	291	295	306	316	327
Grants	172	172	174	174	174	174
Other revenues	26	26	26	26	26	26
Total revenue	502	489	495	506	516	527
Base Expenditures						
Faculties, Student and Professional Services	281	298	310	321	333	344
Provisions and Contingencies	33	27	23	23	23	24
University Budgets	142	148	154	158	160	162
Annual Base Expenditure Cut	-	(5)	(3)	(3)	(3)	(3)
Total Base Expenditures	456	468	484	499	513	527
Fiscal amount available	46	21	11	7	3	-



8.0 Approval of the 2019-2020 Operating Budget

Carleton University 2019-2020 Proposed Operating Budget (000's)				
	Approved Budget 2018-2019	Projected Actuals 2018-2019	Proposed Budget 2019-2020	Change fm Prior Year Budget
<u>Income</u>				
Government Grant	172,607	176,578	172,392	(215)
Tuition Fees	307,000	304,300	291,100	(15,900)
Miscellaneous Fees and Income	10,741	11,335	11,081	340
Investment Income	8,250	8,250	8,250	-
Departmental Income	6,047	6,255	6,309	262
Total Operating Income	504,645	506,718	489,132	(15,513)
<u>Expenditures and Transfers</u>				
Faculty of Arts and Social Sciences	50,367	69,937	54,260	3,893
Faculty of Public Affairs	33,163	44,593	35,794	2,631
Sprott School of Business	12,249	15,190	13,044	795
Faculty of Science	36,483	46,164	39,179	2,696
Faculty of Engineering and Design	36,579	82,067	39,606	3,027
Provost and Vice-President (Academic)	11,121	13,464	11,551	430
Vice-President (Students and Enrolment)	22,989	26,837	24,020	1,031
Library	17,554	20,048	17,693	139
Vice-President (Research and International)	6,698	9,280	6,407	(291)
Vice-President (Finance and Administration)	40,756	62,090	40,687	(69)
Advancement	5,416	22,390	5,459	43
President	4,381	5,974	5,469	1,088
University Budgets and Transfers	150,627	182,993	157,170	6,543
Provisions and Contingencies	76,262	15,529	38,793	(37,469)
Net Appropriations	-	(117,738)	-	-
Total Expenditure and Transfers	504,645	498,818	489,132	(15,513)
Net Result	-	7,900	-	-

As shown above, the 2019-2020 Operating Budget being proposed meets the objective set out by the Board of Governors in the fall of 2018 in that a balanced budget be developed.

The 2019-2020 Operating Budget is therefore respectfully submitted to the Board of Governors.

J. Tomberlin
Provost and Vice-President (Academic)
Chief Budget Officer

M. Piché
Vice-President (Finance and
Administration)

Appendix A. Consolidated Financial Outlook

2019-2020 FINANCIAL OUTLOOK CONSOLIDATED STATEMENT OF INCOME, EXPENSES AND FUND BALANCES

	Operating Fund	Ancillary Fund	Capital Fund	Research Fund	Total
<u>INCOME</u>					
Government grants and contracts	172,392	100	-	67,211	239,703
Tuition fees	291,100	-	-	-	291,100
Miscellaneous fees and income	11,081	50,001	-	-	61,082
Non-government grants and contracts	-	-	-	-	-
Investment Income	8,250	32	-	-	8,282
Sales of services and products	-	18,880	-	-	18,880
Donations	-	66	-	2,985	3,051
Departmental Income	6,309	-	-	-	6,309
Total Income	489,132	69,079	-	70,196	628,407
<u>EXPENSES</u>					
<u>Salaries:</u>					
Academic	159,650	-	-	15,049	174,699
Administrative and support	98,609	11,019	-	3,095	112,723
Student salaries	18,190	2,429	-	12,201	32,820
Benefits	67,884	1,753	-	1,805	71,442
Total Salaries and Benefits	344,333	15,201	-	32,150	391,684
<u>Non-salary:</u>					
Supplies and other direct expenses	25,042	22,047	-	30,820	77,909
Facilities - construction, renovations, operations	52,071	22,734	61,865	1,610	138,280
Student aid	37,228	-	-	5,646	42,874
Library acquisitions	6,622	-	-	-	6,622
Debt and financing charges	-	7,315	-	-	7,315
Provisions and contingencies	26,056	198	-	-	26,253
Interfund transfers (net)	(2,220)	1,233	(15,000)	(30)	(16,017)
Net appropriations	-	352	(46,865)	-	(46,513)
Total Non-salary expenses	144,799	53,878	-	38,046	236,723
Total Expenditure and Transfers	489,132	69,079	-	70,196	628,407
Net Result before one-time fiscal allocations	-	-	-	-	-
<u>Fund Balance</u>					
Opening fund balance	262,223	36,163	77,942	75,874	452,202
Net appropriation	-	352	(46,865)	-	(46,513)
Closing fund balance	262,223	36,515	31,077	75,874	405,689

Appendix B. Multi-Year Financial Outlook

MULTI-YEAR FINANCIAL OUTLOOK OPERATING FUND - INCOME, EXPENSES AND FUND BALANCE (\$ 000)						
	2017-2018 Actual	2018-2019 Budget	2018-2019 Projection	2019-2020 Budget	2020-2021 Outlook	2021-2022 Outlook
	<i>Restated to revised presentation format</i>					
<u>INCOME</u>						
Government grants and contracts	182,592	172,607	176,578	172,392	173,900	174,500
Tuition fees	286,430	307,000	304,300	291,100	295,500	306,000
Miscellaneous fees and income	11,893	10,741	11,335	11,081	11,081	11,081
Non-government grants and contracts	-	-	-	-	-	-
Investment Income	12,610	8,250	8,250	8,250	8,250	8,250
Sales of services and products	-	-	-	-	-	-
Donations	-	-	-	-	-	-
Departmental Income	12,924	6,047	6,255	6,309	6,309	6,309
Total Income	506,448	504,645	506,718	489,132	495,040	506,140
<u>EXPENSES</u>						
<u>Salaries:</u>						
Academic	142,359	148,183	155,019	159,650	165,094	171,213
Administrative and support	85,128	102,960	98,752	98,609	101,489	107,608
Student salaries	25,068	18,700	24,193	18,190	18,190	18,190
Benefits	61,289	64,548	67,133	67,884	68,562	69,262
Total Salaries and Benefits	313,844	334,391	345,098	344,334	353,335	366,273
<u>Non-salary:</u>						
Supplies and other direct expenses	35,935	21,434	38,850	25,042	21,460	21,613
Facilities - construction, renovations, operations	35,368	61,159	55,102	52,071	40,731	42,558
Student aid	32,333	34,956	38,027	37,228	37,403	38,503
Library acquisitions	6,137	6,342	7,300	6,622	6,427	6,427
Debt and financing charges	-	-	-	-	-	-
Provisions and contingencies	-	47,367	-	26,056	28,634	30,852
Interfund transfers (net)	99,402	(1,004)	37,341	(2,220)	(1,220)	(1,220)
Annual base expenditure cut	-	-	-	-	(2,829)	(5,658)
Net appropriations	(16,571)	-	(22,900)	-	-	-
Total Non-salary expenses	192,604	170,254	153,720	144,799	130,606	133,075
Total Expenditure and Transfers	506,448	504,645	498,817	489,133	483,941	499,348
Net Result before one-time fiscal allocations	-	-	7,900	-	11,099	6,792
<u>Fund Balance</u>						
Opening fund balance	264,659	277,223	277,223	262,223	262,223	262,223
Net appropriation	(16,571)	-	(22,900)	-	-	-
Capital appropriations included above	29,135	-	7,900	-	-	-
Closing fund balance	277,223	277,223	262,223	262,223	262,223	262,223

Appendix C. The Ancillary Plan

Ancillary Services are departments that support the academic and research mission of the university but are not directly related to the primary function of teaching and research. The ancillaries provide services to students, faculty, and staff. These units cover housing, food services, athletics, parking, health services, and other ancillary activities.

Ancillaries are expected to generate sufficient revenues to fund the cost of providing service, in addition to generating funds to cover future capital requirements (deferred maintenance). The budget for 2019-2020 contains increases in rates/fees where applicable, expected growth in revenue, anticipated operating costs, as well as deferred maintenance and capital projects planned for the year.

The 2019-2020 Ancillary Budget was presented and approved at the Board of Governors meeting held March 28, 2019. The Ancillary Budget shown in Appendix C has been reclassified to conform to the budget presentation of this document for comparative purposes. As presented in this document, the 2019-2020 Ancillary Budget provides for total revenue of \$69.1M and total expenses of \$68.7M, resulting in an excess of revenues over expenses of \$352K. This will result in a budgeted total accumulated surplus \$41.7M in 2019-2020. Deferred maintenance for all Ancillary Units, excluding the pool, is estimated at \$55M, while total outstanding debt for Ancillary Units is expected to be \$98.7M at the end of 2018-2019.

Housing & Residence Life, Dining Services, Conference Services

Housing and Residence Life provides on-campus accommodations for over 3,600 students. Budget increases in the range of 1.8% to 2.5% have been approved for 2019-2020. During the summer months, Conference Services utilizes a significant portion of available beds to provide accommodations to those who are participating in events being held on campus and visiting tourists. The university has contracted Aramark Canada Ltd. to collaboratively manage dining services on campus. Dining Services is budgeting a 3% increase in residence dining plans for 2019-2020. In comparison, there were no increases to either residence or dining fees in 2018-2019. The department has budgeted a surplus of \$108,000 in 2019-2020. Infrastructure renewal investments of \$7.7M are expected in 2019-2020. A business plan will also be developed in 2019-2020 for a new student residence. Deferred maintenance is currently estimated at \$19.0M, and outstanding debt is projected to be \$67.0M by the end of 2018-2019.

Physical Recreation and Athletics

The mission of Physical Recreation and Athletics is to enhance the life, health, and spirit of the university community by providing quality sport, physical activity, and instruction. A balance of programs is offered for all skills and competitive levels, including freelance recreation, instructional programs, intramural leagues, provided through 15 varsity teams and 21 competitive club teams. Athletics has budgeted a surplus of \$190,000 for 2019-2020. A significant portion of revenue comes from student fees, which are set in accordance with the Ancillary Fee Protocol. The 2019-2020 increase follows CPI (2.5%). The other significant fees come from memberships and rentals. The 2019-2020 budget includes \$1.0 million to be spent on deferred maintenance for the Ice House building envelope and roofing of the Norm Fenn building. Required investments to increase capacity and upgrade facilities are expected to impact future financial results. Deferred maintenance is currently estimated at \$15.0M (excluding the pool), and outstanding debt is projected to be \$436,000 by the end of 2018-2019. It should be noted that the football activity is not reflected in this budget, as it is funded largely by external sources.

Parking Services

Parking Services manages all aspects of parking on campus including traffic demand management, parking lot maintenance, permit issuance, service of parking equipment and parking revenue collection systems, secure bicycle storage facilities, and parking enforcement on campus. In addition to this service, the unit also co-ordinates the locker rental and repair program for the university. Parking Services has budgeted a surplus of \$1.2M for 2019-2020. Parking Services is facing a number of challenges, including operating above functional capacity, loss of parking spaces due to

new building construction, the pending shutdown of the O-Train for the LRT, and the projected end-of life of P9 in 2024-25. To assist with parking infrastructure renewal, as well as to bring parking rates on campus to market standards, the budget for 2019-2020 includes a 10% increase on parking fees. A longer-term pricing plan will be developed as part of the campus Transportation Plan. Deferred maintenance is currently estimated at \$10.0 million, and outstanding debt is projected to be \$22.9 million at the end of 2018-2019.

Health and Counselling Services

Located in the CTTC Building, Health and Counselling Services (HCS) offers comprehensive health care to students, staff, permanent faculty and retirees. Counselling services, including personal counselling as well as health and peer education programs, are also offered to students. Health and Counselling Services has budgeted a surplus of \$32,000 in 2019-2020. A significant portion of revenue comes from student fees, which are set in accordance with the Ancillary Fee Protocol. The 2019-2020 increase is set at CPI (2.5%). HCS currently has no deferred maintenance nor outstanding debt.

The Print Shop

The Print Shop is committed to providing quality offset and digital printing to the university community. The department is also responsible for multi-functional devices throughout campus for both internal and external users. Campus Card is also included in The Print Shop's operations, which provides students, staff, and faculty with a comprehensive ID card that can be used to make purchases across campus, access services, and gain entry to buildings. Campus Card is also responsible for distributing the UPass transit pass to students. The Print Shop has budgeted a surplus of \$246,000 for 2019-2020. The Print Shop currently has no deferred maintenance nor outstanding debt.

Ancillary Property Rentals

The department includes the National Wildlife and Research Centre (NWRC), which is leased to Environment Canada and is operated on a cost-recovery basis. Deferred maintenance is currently estimated at \$243,000, and outstanding debt (the mortgage) is projected to be \$8.4 million by the end of 2018-2019.

The University Centre

The University Centre is a student-oriented building that serves as the hub of the campus. It is home to the Carleton University Students' Association (CUSA) and virtually all of its operations including a convenience store, a coffee house, and Oliver's Pub. Other tenants include the Graduate Students' Association (GSA), Information Carleton, the Paul Menton Centre for Students with Disabilities, the University Bookstore and a large food court. The University Centre operates on a cost recovery basis. Deferred maintenance for the University Centre is estimated at \$11.0 million, of which \$2.0M will be spent in 2019-2020. There is currently no outstanding debt. Future demand for Centre space by student associations could be impacted because of a change in the government's ancillary fees policy.

The Bookstore

The Bookstore sells textbooks, course materials, apparel, supplies, and other related accessories. The Bookstore is managed by Follett of Canada under an agreement that provides a commission on sales to the university. This agreement is in place until 2020 with an option to renew at that time. Although a declining business, the department continues to generate positive results. The Bookstore has budgeted surplus of \$94,000 in 2019-2020. The Bookstore currently has no deferred maintenance or outstanding debt.

Carleton Performance Centre (Dominion Chalmers)

Carleton University acquired the Dominion-Chalmers United Church building (the Performance Centre) in late June 2018. The Performance Centre provides the university with academic and multi-purpose performance space, in addition to serving the Ottawa community. The Performance Centre budget excludes \$2.7 million in restricted donations and pledges to cover renovations and facility upgrades. External revenue is primarily generated from rental income and space rentals for events, as well as from parking. Carleton University transfers \$300,000 annually to cover the operating costs

associated with the use of space by the university. The Performance Centre is budgeting a surplus of \$46,000 in 2019-2020. The Performance Centre currently has no outstanding debt.

Ancillary Capital Fund (ACF)

The Ancillary Capital Fund (ACF) has been established to support future capital projects for ancillary units. Revenue is derived from external sponsorships and rentals, as well as internal commissions from other Ancillary Units. In consideration of the financial pressures the University will face in 2019-2020, it is proposed that \$1.0 million be transferred to the Operating Fund from the ACF. The ACF has budgeted a surplus of \$423,000 in 2019-2020, and has no deferred maintenance or outstanding debt.

Carleton University Proposed Ancillary Budget 2019-2020 and Projected Operating Results 2018-2019 (\$ 000)															
	2018-19 Projections			2019-20 Proposed Budget			2020-21 Projected Budget			2021-22 Projected Budget			Accumulated Surplus		
	Revenue \$000's	Expenses & Capital \$000's	Surplus (Deficit) \$000's	Revenue \$000's	Expenses & Capital \$000's	Surplus (Deficit) \$000's	Revenue \$000's	Expenses & Capital \$000's	Surplus (Deficit) \$000's	Revenue \$000's	Expenses & Capital \$000's	Surplus (Deficit) \$000's	Apr 2018 Actual	Apr 2019 Projected	Apr 2020 Budget
Housing, Conference & Dining	32,891	31,063	1,828	33,279	33,171	108	33,812	31,846	1,966	34,324	32,256	2,068	9,701	11,529	11,637
Physical Recreation and Athletics	14,878	13,546	1,332	15,052	14,862	190	15,334	15,216	118	15,686	16,032	(346)	9,873	11,205	11,395
Parking Services	5,502	4,735	767	6,165	4,952	1,213	6,168	4,903	1,265	6,171	4,957	1,214	2,843	3,610	4,823
Health and Counselling Services	3,733	3,982	(249)	3,759	3,727	32	3,800	3,753	47	3,901	3,833	68	744	495	527
The Print Shop	3,049	3,359	(310)	3,038	2,792	246	3,038	2,864	174	3,038	2,910	128	1,442	1,132	1,378
Ancillary Property Rentals	2,373	2,373	-	2,434	2,434	-	2,481	2,481	-	2,528	2,528	-	1,560	113	113
University Centre	1,702	1,373	329	1,742	3,742	(2,000)	1,806	1,806	-	1,863	1,863	-	2,491	2,820	820
Carleton Performance Centre	492	437	55	769	723	46	822	606	216	845	642	203	-	55	101
Bookstore	689	546	143	648	554	94	639	570	69	630	585	45	267	410	504
Ancillary Capital Fund	2,177	1,093	1,084	2,193	1,770	423	2,239	770	1,469	2,252	561	1,691	3,710	4,794	5,217
Total Ancillary Units	67,486	62,507	4,979	69,079	68,727	352	70,139	64,815	5,324	71,238	66,167	5,071	32,631	36,163	36,515

Ancillary Fund Financial Outlook

MULTI-YEAR FINANCIAL OUTLOOK ANCILLARY FUND - INCOME, EXPENSES AND FUND BALANCES (\$ 000)

	2017-2018 Actual	2018-2019 Budget	2018-2019 Projection	2019-2020 Budget	2020-2021 Outlook	2021-2022 Outlook
INCOME						
Government grants and contracts	104	100	100	100	100	100
Tuition fees	-	-	-	-	-	-
Miscellaneous fees and income	49,417	49,295	49,002	50,001	50,916	51,840
Non-government grants and contracts	-	-	-	-	-	-
Investment Income	22	32	32	32	32	32
Sales of services and products	19,127	19,743	18,076	18,880	19,091	19,266
Donations	394	-	276	66	-	-
Departmental Income	-	-	-	-	-	-
Total Income	69,064	69,170	67,486	69,079	70,139	71,238
EXPENSES						
Salaries:						
Academic	-	-	-	-	-	-
Administrative and support	9,080	10,797	10,254	11,019	11,402	11,767
Student salaries	2,147	2,282	2,225	2,429	2,537	2,642
Benefits	1,377	2,274	1,552	1,753	1,799	1,897
Total Salaries and Benefits	12,604	15,353	14,031	15,201	15,738	16,306
Non-salary:						
Materials, supplies and small equipment	21,564	20,851	21,730	22,047	22,453	22,951
Facilities - construction, renovations, operations	20,115	19,800	19,287	22,734	19,080	19,446
Student aid	4	-	-	-	-	-
Library acquisitions	-	-	-	-	-	-
Debt and financing charges	7,679	7,516	7,439	7,315	7,113	7,033
Provisions and contingencies	-	306	12	198	198	198
Interfund Transfers (net)	(651)	529	1,454	1,233	233	233
Net appropriation to/(from) fund balance	7,749	4,815	3,533	352	5,324	5,071
Total Non-salary expenses	56,460	53,817	53,455	53,878	54,401	54,932
Total Expenditure and Transfers	69,064	69,170	67,486	69,079	70,139	71,238
Net Result	-	-	-	-	-	-
Fund Balance						
Opening fund balance	24,881	32,121	32,630	36,163	36,515	41,839
Addition/Reductions	7,749	4,815	3,533	352	5,324	5,071
Closing fund balance	32,630	36,936	36,163	36,515	41,839	46,910

Appendix D. The Capital Plan

Carleton's capital budgeting process provides an opportunity to establish the university's long-term needs for new facilities and upgrades of existing ones. The Campus Master Plan sets the parameters, policies and directions for the physical development of the campus – its buildings, landscapes, movement systems, and general infrastructure. The Campus Master Plan was last reviewed in June 2016.

Capital expenditures include activity related to the capital infrastructure on campus. Under normal circumstances, equipment and small renovations are funded from operating funds and/or restricted funds (e.g., the research fund). For large equipment, significant renovations or construction for which the estimated cost is higher than \$5 million, two standing committees of the Board of Governors share responsibility for oversight: The [Building Program Committee](#) (responsible for technical oversight) and the Finance Committee (responsible for project funding and financial management).

The university expects to spend \$49.7 million on major capital projects during 2019-2020, and \$14.0 million to address its deferred maintenance backlog.

The following capital projects are ongoing:

Nicol Business Building

A dedicated facility for the Sprott School of Business (see photo on the Table of Contents page) was approved in October 2018 for a 100,000 square-foot building including public assembly space, electronic and interactive classrooms of various sizes, student resource rooms, office space, space for entrepreneurial programming and shell space to accommodate future program growth. This \$65-million project is funded by Operating Fund – Capital Reserves and from a \$10.0 million donation from the Nicol family. Expected completion date is fall 2020.

Faculty of Engineering and Design (FED) - Student Design Centre

The Faculty of Engineering will develop an Engineering Design Centre (EDC) as an addition to the Mackenzie complex. The EDC will accommodate design studios for the Capstone projects developed by students from various departments, supporting student interaction, collaboration and socializing as part of the overall experience. The three-story, \$11.0 million addition will be approximately 16,600 square feet with a central atrium visually connecting all spaces. Conceptual design was completed in November 2018 and occupancy of the new space is projected for fall of 2020. The project received approval from the Building Program Committee in March 2019.

ARISE Building Fit-up

Construction of the Carleton University Institute for Advanced Research and Innovation in Smart Environments (ARISE) building was substantially completed in fall 2018. Phase 2 includes the fit-up of the facility at a cost of \$8.5 million to be completed in the summer of 2019. Future occupancy will support strategic priorities regarding research and economic development in the fields of Clean Technology, Health Technology, and Information and Communication Technology. This project is funded through Operating Fund – Capital Reserves.

Health Sciences Fit-up (4th & 6th Floors)

The original design of the building left two floors unfinished to allow for future program growth. The \$9.0M fit-up of these final two floors is funded through Operating Fund – Capital Reserves. Work started in November 2018 and is progressing on schedule. Project completion is scheduled for summer 2019.

Co-generation Plant

Increasing building growth on campus has resulted in increasing burdens on the existing steam plan and electrical service capacities of the Heating Plant. This \$20.7-million project expands the Heating Plant to accommodate the installation of a Combined Heat and Power (Cogeneration) System to

support increasing needs in the most economical manner. The project is funded through Operating Fund – Capital Reserves and is expected to be completed in fall 2019.

Building Modernization Program (Deferred Maintenance)

In addition to investing in new facilities, the university is addressing a backlog of deferred maintenance to maintain existing buildings in acceptable condition. The average age of our academic buildings is 34 years, and 14 of these are older than 30 years. The current deferred maintenance backlog in academic buildings is \$130 million. In order to address the backlog, the Board of Governors approved funding of \$14.0 million annually over a 10-year period. Deferred maintenance projects are prioritized using a ranking system within the VFA software application.

Deferred maintenance needs of buildings servicing ancillary operations are also tracked in VFA software and are funded from ancillary reserves.

Capital Fund Financial Outlook

MULTI-YEAR FINANCIAL OUTLOOK CAPITAL FUND - MAJOR CAPITAL PROJECTS (\$ thousands)									
	Expected completion date	Original budget	Revised budget	2017-2018 Actual to date	2018-2019 Budget	2018-2019 Projections	2019-2020 Budget	2020-2021 Outlook	2021-2022 Outlook
APPROVED PROJECTS									
Health Science Building	Summer 2019	45,000	52,000	49,604	1,399	1,399	997	-	-
Nicol - Business Building	Fall 2020	48,000	65,100	2,808	12,083	12,083	31,278	18,931	-
ARISE Building	Fall 2018	29,518	29,518	19,865	9,653	9,653	-	-	-
ARISE Fit-up		8,500	8,500	-	4,446	4,446	4,054	-	-
Health Science Fit Up	Summer 2019	9,000	9,000	-	4,487	4,487	4,513	-	-
Co-Generation Plant	Spring 2019	20,000	20,700	10,204	4,473	4,473	6,023	-	-
Energy Retrofit and Modernization Facilities	Fall 2018	21,165	21,315	17,250	4,065	4,065	-	-	-
Dominion Chalmers Church	Fall 2018	6,785	6,809	-	6,809	6,809	-	-	-
MacKenzie Addition - Student Design Centre	Fall 2020	11,000	11,000	-	-	-	1,000	10,000	-
POTENTIAL PROJECTS									
Campus Transportation Strategy									
Wellnes Centre									
Total		198,968	223,942	99,731	47,415	47,415	47,865	28,931	-
FUNDING PROVIDED BY									
Government Grant		31,431	31,431	21,619	9,812	9,812	-	-	-
Operating Fund appropriations / reserves		153,405	175,433	76,985	37,179	37,179	46,865	18,931	-
Donations		3,100	4,200	1,100	400	400	-	-	-
Operating Budget		11,032	12,878	27	24	24	1,000	10,000	-
Total		198,968	223,942	99,731	47,415	47,415	47,865	28,931	-

Financing for Capital and Strategic Initiatives

Before undertaking any capital project or large-scale strategic initiative, such as technology infrastructure renewal, Carleton University considers available financing sources, including internal loans, reserves, forecasted revenues including donations, and external financing, or debt. External debt is undertaken by the administration only following approval by the Board of Governors.

Carleton University's total debt is forecasted to be \$67.3M at April 30, 2019, of which \$63.4M is long-term debt. This debt was entered into on behalf of ancillary operations and represents mortgages and loans for the construction of five residence buildings and the National Wildlife Research Centre (NWRC) Building.

The framework for undertaking external debt and in establishing limits on outstanding long-debt is detailed in Carleton University's Capital Debt Policy: carleton.ca/secretariat/wp-content/uploads/Capital-Debt-Policy.pdf

In any given year, the following ratios must ordinarily be met in order to incur additional capital debt:

- A. Debt to Full Time Equivalent Student (FTE) <\$10,900 (as at May 2013). This amount is indexed by annual CPI increase every May. As at May 1, 2018, the debt per student FTE was \$11,805 and total debt \$71.1M, for a debt to FTE Student of \$5,501, well below the loan covenant.
- B. Debt Service Coverage Ratio (DSCR) > 2.5

$$\text{DSCR} = \frac{\text{surplus (deficit)} + \text{depreciation expense} + \text{interest expense}}{\text{annual debt service charge (i.e. interest and principal)}}$$

The annual debt service charge includes those payments legally required and excludes any special repayments made at the university's discretion.

For fiscal year 2016-2017, the DSCR ratio was 18.4, well above the loan covenant.

CAPITAL DEBT - ANNUAL PAYMENTS					
Principal and Interest					
(\$ thousands)					
			2019-2020	2020-2021	2021-2022
	Maturity	Interest rate	Budget	Outlook	Outlook
<u>Mortgage payable:</u>					
Glengarry Residence	2020	6.375%	117	-	-
			117	-	-
<u>Loans payable:</u>					
Leeds Residence	2027	6.724%	1,607	1,607	1,607
Prescott Residence	2029	6.299%	1,520	1,520	1,520
Frontenac Residence	2039	4.660%	929	934	939
Lennox & Addington Residence	2042	2.930%	1,591	1,586	1,590
NWRC Loan	2028	6.460%	1,332	1,332	1,332
			6,979	6,979	6,988
Total Capital Debt Payments			7,096	6,979	6,988

MULTI-YEAR FINANCIAL OUTLOOK
CAPITAL FUND - INCOME, EXPENSES AND FUND BALANCE
(\$ 000)

	2017-2018 Actual	2018-2019 Budget	2018-2019 Projection	2019-2020 Budget	2020-2021 Outlook	2021-2022 Outlook
INCOME						
Government grants and contracts	10,190	9,812	9,812	-	-	-
Tuition fees	-	-	-	-	-	-
Miscellaneous fees and income	1,237	1,000	2,300	-	-	-
Non-government grants and contracts	-	-	-	-	-	-
Investment Income	-	-	-	-	-	-
Sales of services and products	-	-	-	-	-	-
Donations	11,947	-	-	-	-	-
Departmental Income	-	-	-	-	-	-
Total Income	23,374	10,812	12,112	-	-	-
EXPENSES						
Salaries:						
Academic	-	-	-	-	-	-
Administrative and support	-	-	-	-	-	-
Student salaries	-	-	-	-	-	-
Benefits	-	-	-	-	-	-
Total Salaries and Benefits	-	-	-	-	-	-
Non-salary:						
Materials, supplies and small equipment	-	-	-	-	-	-
Facilities - construction, renovations, operations	58,268	61,415	61,415	61,865	42,931	14,000
Student aid	-	-	-	-	-	-
Library acquisitions	-	-	-	-	-	-
Debt and financing charges	-	-	-	-	-	-
Provisions and contingencies	-	-	-	-	-	-
Interfund transfers (net)	(5,759)	(28,665)	(27,365)	(15,000)	(24,000)	(14,000)
Net appropriation to/(from) fund balance	(29,135)	(21,938)	(21,938)	(46,865)	(18,931)	-
Total Non-salary expenses	23,374	10,812	12,112	-	-	-
Total Expenditure and Transfers	23,374	10,812	12,112	-	-	-
Net Result	-	-	-	-	-	-
Fund Balance						
Opening appropriated fund balance	121,115	91,980	91,980	77,942	31,077	12,146
Add/(deduct) net appropriations	-	(21,938)	(21,938)	(46,865)	(18,931)	-
Contributions from Operating included above	(29,135)	-	7,900	-	-	-
Closing appropriated fund balance	91,980	70,042	77,942	31,077	12,146	12,146

Appendix E. The Research Plan

External research funding is divided into four categories:

- (1) Tri-Agency (NSERC, SSHRC, CIHR), New Frontiers in Research, CRC, NCE,
- (2) Infrastructure funding (e.g., CFI, ORF),
- (3) Joint ventures (e.g., TRIUMF and SNO), and
- (4) Other grants and contracts (e.g., industry, governments, foundations, international).

The total research funding can widely fluctuate from year to year. Projections of research revenues and expenses take into account many factors such as multi-year grants and expected success rates in funding competitions. External factors, such as timing of external research competitions and economic conditions, have a major impact on our research funding projections, especially for one-time large infrastructure awards such as the CFI-IF. As a result, projections of future research funding have large uncertainties.

At the provincial level, while the Ontario Government is focusing on controlling its budget deficit, we expect some uncertainties in provincial research funding levels (OCE, ORF).

At the federal level, budget 2018 included substantial research investments. Other changes are being implemented to streamline and simplify the programs as recommended by the Naylor report. NSERC, SSHRC, CIHR, CRC, and CFI all saw increases to their budgets and the NRC, for the first time received funding specifically to work with university researchers. These changes, however, are all winding through the system slowly. For example, the New Frontiers in Research Fund “Transformation” and “International” streams have yet to be announced and will likely have a minimal impact on the 2019-2020 fiscal year funding.

At Carleton, we are empowering multidisciplinary research clusters that address important societal needs and lead to potential economic development impact. To ensure that our multidisciplinary research teams succeed in the external research competitions, we are providing seed funding to 10 teams and are working closely with them on external research funding applications.

In 2017-2018, our external research funding was slightly over \$70 Million compared to \$54 Million in the previous year (an increase of 29%). Carleton’s research funding level in 2017-2018 will be somewhat difficult to sustain. The new programs are rolling out slowly, while others are already closing intake. In addition, no CFI-IF competitions have been launched. We anticipate a CFI-IF competition in the 2019-2020 fiscal year, with funding flowing in 2020-2021. Furthermore, the OCE funding is presently on hold.

Substantial increases and improvements to research space, such as the addition of the Advanced Research and Innovation in Smart Environments (ARISE) Building and the Health Science Building will continue to create opportunities for seeking and obtaining additional research funding.

Tri-Agency Funding (NSERC, SSHRC and CIHR)

Our tri-agency funding has been growing steadily during the past few years. With a renewed emphasis on health research at Carleton we expect more success at CIHR. We expect our Tri-Agency funding level to increase by 3% per year for the next three years.

Canada Foundation for Innovation (CFI)

Fiscal 2018-2019 is a quiet year for CFI-related competitions. We will be preparing for the upcoming announcement of the major infrastructure round while finalizing procurement under our funded Atlas and Multi-hazard programs from previous rounds and the ongoing CFI-JELF (John R. Evans Leaders Fund) envelope.

Canada Research Chairs (CRCs)

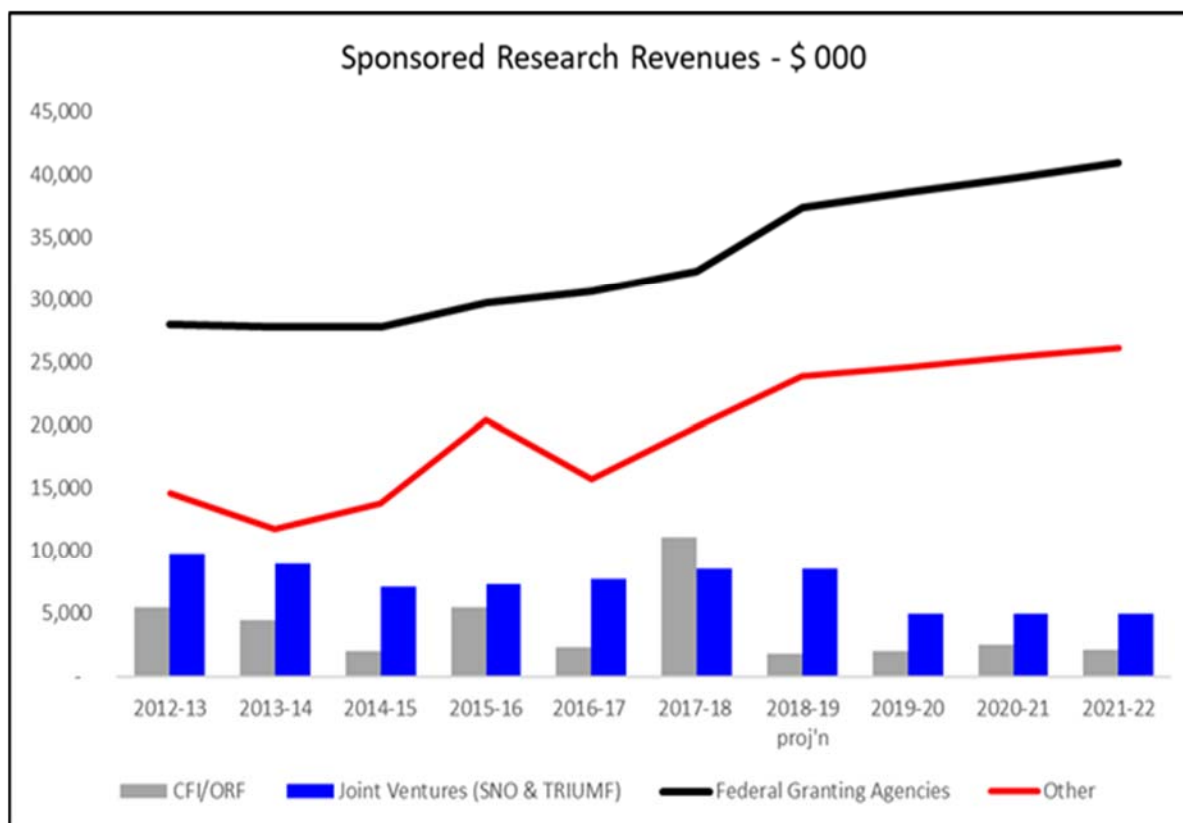
Recruitment efforts are underway for six CRCs. Our recruitment process is designed to ensure that our CRC Equity, Diversity and Inclusion targets are all met. The number of CRCs that are allocated to Carleton are based on our share of Tri-Agency funding.

Private Sector

Recent federal investments in Ottawa companies such as BlackBerry/QNX, Nokia, Ciena and Ericsson (via ENCQOR) provide new opportunities to engage at higher levels with companies locally, nationally, and internationally.

International

Recent changes in some NSERC programs provide matching opportunities for some international funding. These changes will provide us more incentives to attract international funding.



Abbreviations

CFI	Canada Foundation for Innovation
CFI-IF	Canada Foundation for Innovation – Infrastructure Fund
CIHR	Canadian Institutes of Health Research
CRC	Canada Research Chairs
NCE	Networks of Centres of Excellence of Canada
NRC	National Research Council of Canada
NSERC	Natural Science and Engineering Research Council
OCE	Ontario Centres of Excellence
ORF	Ontario Research Fund
SNO	Sudbury Neutrino Observatory Laboratory (Physics Joint Venture)
SSHRC	Social Sciences and Humanities Research Council
TRIUMF	Tri-University Menon Facility (Physics Joint Venture)

Research Fund Financial Outlook

MULTI-YEAR FINANCIAL OUTLOOK RESEARCH FUND - INCOME, EXPENSES AND FUND BALANCES (\$ 000)

	2017-2018 Actual	2018-2019 Budget	2018-2019 Projection	2019-2020 Budget	2020-2021 Outlook	2021-2022 Outlook
INCOME						
Government grants and contracts	66,944	68,852	68,852	67,211	69,607	71,160
Tuition fees	-	-	-	-	-	-
Miscellaneous fees and income	594	-	-	-	-	-
Non-government grants and contracts	-	-	-	-	-	-
Investment income	5	-	-	-	-	-
Sales of services and products	390	-	-	-	-	-
Donations	5,073	2,844	2,844	2,985	2,985	2,985
Departmental income	-	-	-	-	-	-
Total Income	73,006	71,696	71,696	70,196	72,592	74,145
EXPENSES						
Salaries:						
Academic	16,731	15,292	15,292	15,049	16,524	17,277
Administrative and support	2,908	2,598	2,598	3,095	3,221	3,565
Student salaries	10,270	12,736	12,736	12,201	12,865	12,583
Benefits	1,251	1,662	1,662	1,805	1,872	1,856
Total Salaries and Benefits	31,160	32,288	32,288	32,150	34,482	35,281
Non-salary:						
Materials, supplies and small equipment	29,048	32,198	32,198	30,820	30,657	31,266
Facilities - construction, renovations, operations	1,089	1,609	1,609	1,610	1,663	1,695
Student aid	4,958	5,631	5,631	5,646	5,820	5,933
Library acquisitions	-	-	-	-	-	-
Debt and financing charges	-	-	-	-	-	-
Provisions and contingencies	-	-	-	-	-	-
Interfund transfers (net)	(13,935)	(30)	(30)	(30)	(30)	(30)
Net appropriations	20,687	-	-	-	-	-
Total Non-salary expenses	41,847	39,408	39,408	38,046	38,110	38,864
Total Expenditure and Transfers	73,007	71,696	71,696	70,196	72,592	74,145
Net Result	-	-	-	-	-	-
Fund Balance						
Opening appropriated fund balance	50,135	70,822	70,822	70,822	70,822	70,822
Add/(deduct) net appropriations	20,687	-	-	-	-	-
Closing appropriated fund balance	70,822	70,822	70,822	70,822	70,822	70,822

Appendix F. Faculty and Staff Positions

Faculty and Staff Positions included in the Opening Budget						
Academic RPCs 2018/2019 and 2019/2020						
Department/RPC	2018/2019		2019/2020		Change	
	Faculty FTE*	Staff FTE*	Faculty FTE*	Staff FTE*	Faculty FTE*	Staff FTE*
ICSLAC	3.7	1.0	3.1	1.0	(0.6)	-
Indigenous & Canadian Studies	13.1	2.0	14.1	2.0	1.0	-
English	32.1	3.0	29.6	3.0	(2.5)	-
French	12.5	2.0	12.3	2.0	(0.3)	-
History	28.9	3.0	27.9	3.0	(1.0)	-
Philosophy	10.2	2.0	10.2	2.0	-	-
Art & Culture	27.6	8.0	31.0	8.0	3.4	-
SLALS	45.5	6.0	45.3	6.0	(0.3)	-
Humanities	19.2	3.0	19.0	3.0	(0.2)	-
Interdisciplinary Studies	8.0	2.0	9.3	2.0	1.3	-
Cognitive Science	9.6	2.0	10.6	2.0	1.0	-
African Studies	1.0	1.0	2.0	1.0	1.0	-
Art Gallery	-	4.5	-	4.5	-	-
Geography & Environmental Studies	22.2	6.0	23.7	6.0	1.5	-
Sociology & Anthropology	35.9	5.0	35.0	5.0	(0.9)	-
Psychology	39.0	6.0	39.0	6.0	-	-
Women's & Gender Studies	7.0	2.0	6.8	2.0	(0.2)	-
Centre for Initiatives in Education (CIE)	5.0	7.8	5.0	7.8	-	-
Other (1)	3.7	13.0	2.7	13.0	(1.0)	-
Total Arts & Social Sciences	324.2	79.3	326.5	79.3	2.2	-
Journalism	17.5	6.7	16.5	7.2	(1.0)	0.5
Communication	20.0	2.8	20.5	2.8	0.5	-
Economics	28.5	5.0	29.5	5.0	1.0	-
Law	35.5	5.5	35.5	5.5	-	-
Kroeger College	-	1.5	-	1.5	-	-
Political Management	3.5	0.5	3.5	0.5	-	-
Political Science	32.3	4.5	32.3	4.5	-	-
Global & International Studies	4.5	4.0	5.5	4.0	1.0	-
Public Policy Administration	24.3	6.0	24.3	6.0	-	-
Social Work	18.5	4.0	18.0	4.0	(0.5)	-
Criminology & Criminal Justice	5.0	2.0	5.0	2.0	-	-
European, Russian & Eurasian Studies	3.3	1.0	3.5	1.0	0.2	-
International Affairs	18.0	5.0	18.5	5.0	0.5	-
Political Economy	-	1.0	-	1.0	-	-
Other	1.5	9.0	4.0	9.5	2.5	0.5
Total Public Affairs	212.4	58.5	216.6	59.5	4.2	1.0
Business	61.5	26.2	63.5	26.2	2.0	0.1
Total School of Business	61.5	26.2	63.5	26.2	2.0	0.1
Science Stores	-	2.0	-	2.0	-	-
Biology	28.6	17.0	29.1	17.0	0.5	-
Chemistry	19.6	12.0	20.6	12.0	1.0	-
Earth Sciences	10.3	7.0	10.3	7.0	-	-
Nano Imaging Facility	-	1.0	-	1.0	-	-
Mathematics & Statistics	36.0	6.0	37.0	6.0	1.0	-
Physics	21.0	11.4	19.5	11.4	(1.5)	-
Biochemistry	2.1	1.0	2.1	1.0	-	-
Environmental & Integrated Science (1)	4.7	1.0	6.7	1.0	2.0	-
Health Science	9.0	3.0	9.0	3.0	-	-
Neuroscience	14.5	4.0	14.5	4.0	-	-
Computer Science	34.3	11.0	37.3	12.0	3.0	1.0
Animal Care/Vivarium Operations	-	4.0	-	5.0	-	1.0
Technology, Science & Environment	0.5	-	0.5	-	-	-
Other	1.0	11.0	1.0	12.0	-	1.0
Total Science	181.6	91.4	187.6	94.4	6.0	3.0
Civil & Environmental	31.5	9.0	30.5	9.0	(1.0)	-
Electronics	25.0	8.5	25.0	8.5	-	-
Mechanical & Aerospace	39.5	12.0	39.5	12.0	-	-
Systems & Computer	39.5	10.0	39.5	10.0	-	-
Joint Information Technology	14.5	6.0	15.5	6.0	1.0	-
Engineering General	1.5	20.0	0.5	23.0	(1.0)	3.0
Technology Innovations Management	-	1.0	-	1.0	-	-
Industrial Design	7.0	5.5	7.0	5.5	-	-
Architecture	19.0	9.5	19.0	9.5	-	-
Total Engineering & Design	177.5	81.5	176.5	84.5	(1.0)	3.0
Central (2)	3.0	0.0	5.5	0.0	2.5	-
Total Academic RPCs	960.2	336.9	976.2	343.9	15.9	7.1

*Positions measured in Full-Time Equivalents (FTEs) and include continuing positions only.

(1) Includes Integrated Science Studies

(2) Consists of 5.5 Indigenous faculty members to be allocated.

Staff Positions included in the Opening Budget			
Administrative RPCs 2018/2019 and 2019/2020			
Department/RPC	2018/2019 Staff FTEs*	2019/2020 Staff FTEs*	Change Staff FTEs*
Provost & VP (Academic), AVP, Discovery Centre	4.0	6.0	2.0
Faculty of Graduate and Postdoctoral Affairs	21.0	22.0	1.0
Educational Development Centre	56.0	56.0	-
Quality Assurance	7.0	7.0	-
Faculty Affairs	2.0	2.0	-
Ombudsperson	2.0	2.0	-
Total Academic Administration	92.0	95.0	3.0
VP & AVP Student and Enrolment)	8.0	10.0	2.0
University Registrarial Services	31.0	31.0	-
Scheduling & Examination Services	10.0	10.0	-
Co-op and Career Services	33.6	35.8	2.2
Admission Services	24.0	22.0	(2.0)
Undergraduate and International Recruitment	21.0	23.0	2.0
Student Academic Success Centre	18.0	21.0	3.0
Awards and Financial Aid	12.0	13.0	1.0
Paul Mention Centre	14.0	15.0	1.0
Student Systems Support	7.0	7.0	-
Student Experience	4.0	5.0	1.0
International Student Services	8.0	8.0	-
Student Affairs & FIT Action	6.0	6.0	-
Total Student and Enrolment	196.6	206.8	10.2
Library	109.3	105.8	(3.5)
Total Library	109.3	105.8	(3.5)
VP and AVP, Research and International	15.2	15.2	-
CORIS	13.0	17.0	4.0
Industry & Partnership Services	5.0	5.0	-
Research Ethics & Compliance	5.0	5.0	-
Total Research and International	38.2	42.2	4.0
VP (Finance and Administration)	2.0	2.0	-
Human Resources	31.0	35.0	4.0
Financial Services	46.0	46.0	-
University Safety	33.0	33.0	-
Information Technology Services (ITS)	103.0	102.0	(1.0)
Facilities Management & Planning	92.0	99.0	7.0
Institutional Research and Planning	9.0	10.0	1.0
University Services	17.7	17.7	-
Quality Initiatives	8.0	9.0	1.0
Pension and Investment Management	3.0	3.0	-
Total Finance and Administration	344.7	356.7	12.0
Office of the President	3.0	3.0	-
University Secretariat & Board of Governors	6.0	8.0	2.0
Legal Affairs & Privacy Office	4.0	4.0	-
Equity Services	8.0	10.0	2.0
University Communications	14.0	17.0	3.0
Total President	35.0	42.0	7.0
Advancement	48.0	48.0	-
Total Advancement	48.0	48.0	-
Total Administrative RPCs	863.8	896.5	32.7

*Positions measured in Full-Time Equivalents (FTEs) and include continuing positions only.

Appendix G. Tuition Tables

Domestic Undergraduate Students									
	18-19			19-20			18-19		
	1st year	1st year	Increase	2nd year	2nd year	Increase	3rd year	3rd year	Increase
Full-Time Undergraduate									
Arts, Science, Cognitive Science, Mathematics, Communication & Media Studies, Economics, Health Sciences	6,742	6,067	-10.0%	6,742	6,067	-10.0%	6,742	6,067	-10.0%
Certificates, All Post-Baccalaureate Programs	6,710	6,039	-10.0%	N/A	6,067	N/A	N/A	N/A	N/A
Special Students	6,742	6,067	-10.0%	N/A	N/A	N/A	N/A	N/A	N/A
Senior Citizens	5,394	4,853	-10.0%	5,394	4,853	-10.0%	5,394	4,853	-10.0%
Social Work	7,129	6,416	-10.0%	7,129	6,416	-10.0%	7,129	6,416	-10.0%
Commerce	8,537	7,683	-10.0%	8,537	7,683	-10.0%	8,537	7,683	-10.0%
Global and International Studies	8,336	7,502	-10.0%	8,336	7,502	-10.0%	8,336	7,502	-10.0%
Public Affairs and Policy Management	8,499	7,649	-10.0%	8,499	7,649	-10.0%	8,499	7,649	-10.0%
Journalism, Journalism and Humanities	7,129	6,416	-10.0%	7,800	7,020	-10.0%	7,800	7,020	-10.0%
Media Production and Design	8,432	7,588	-10.0%	8,432	7,588	-10.0%	8,432	7,588	-10.0%
International Business	9,085	8,176	-10.0%	9,085	8,176	-10.0%	9,085	8,176	-10.0%
Music	7,298	6,568	-10.0%	7,298	6,568	-10.0%	7,298	6,568	-10.0%
Humanities	7,129	6,416	-10.0%	7,129	6,416	-10.0%	7,129	6,416	-10.0%
Architecture and Architectural Studies, Industrial Design	10,683	9,614	-10.0%	10,683	9,614	-10.0%	10,683	9,614	-10.0%
Engineering	11,692	10,522	-10.0%	11,692	10,522	-10.0%	11,692	10,522	-10.0%
Computer Science	10,152	9,136	-10.0%	10,152	9,136	-10.0%	10,152	9,136	-10.0%
Information Technology	8,763	7,886	-10.0%	8,763	7,886	-10.0%	8,763	7,886	-10.0%
Part-Time Undergraduate									
Arts, Science, Cognitive Science, Mathematics, Communication & Media Studies, Economics, Health Sciences	1,344	1,209	-10.0%	1,344	1,209	-10.0%	1,344	1,209	-10.0%
Certificates, All Post-Baccalaureate Programs	1,338	1,204	-10.0%	N/A	N/A	N/A	N/A	N/A	N/A
Special Students	1,344	1,209	-10.0%	N/A	N/A	N/A	N/A	N/A	N/A
Senior Citizens	1,074	966	-10.1%	1,074	966	-10.1%	1,074	966	-10.1%
Social Work	1,423	1,280	-10.0%	1,423	1,280	-10.0%	1,423	1,280	-10.0%
Commerce	1,705	1,534	-10.0%	1,705	1,534	-10.0%	1,705	1,534	-10.0%
Global and International Studies	1,664	1,497	-10.0%	1,664	1,497	-10.0%	1,664	1,497	-10.0%
Public Affairs and Policy Management	1,697	1,527	-10.0%	1,697	1,527	-10.0%	1,697	1,527	-10.0%
Journalism, Journalism and Humanities	1,423	1,280	-10.0%	1,557	1,401	-10.0%	1,556	1,400	-10.0%
Media Production and Design	1,686	1,517	-10.0%	1,686	1,517	-10.0%	1,686	1,517	-10.0%
International Business	1,812	1,630	-10.0%	1,812	1,630	-10.0%	1,812	1,630	-10.0%
Music	1,455	1,309	-10.0%	1,455	1,309	-10.0%	1,455	1,309	-10.0%
Humanities	1,423	1,280	-10.0%	1,423	1,280	-10.0%	1,423	1,280	-10.0%
Architecture and Architectural Studies, Industrial Design	2,133	1,919	-10.0%	2,133	1,919	-10.0%	2,133	1,919	-10.0%
Engineering	1,945	1,750	-10.0%	1,945	1,750	-10.0%	1,945	1,750	-10.0%
Computer Science	2,027	1,824	-10.0%	2,027	1,824	-10.0%	2,027	1,824	-10.0%
Information Technology	1,749	1,574	-10.0%	1,749	1,574	-10.0%	1,749	1,574	-10.0%

Domestic Graduate Students						
	First Year Student			Upper Year Student		
	18-19	19-20	Increase	18-19	19-20	Increase
	1st year	1st year		Upper Yr	Upper Yr	
Full-Time Graduate						
Human-Computer Interaction (M.A., M.A.Sc., M.C.S.); M.Sc. Health: Science, Technology and Policy(HSTP), Dip(HSTP); Sustainable Energy (M.A., M.Eng, M.A.Sc.); M. Sc Health Sciences Master of Journalism (MJ); Master of Infrastructure Protection and International Security (MIPIS); Diploma in Infrastructure Protection and International Security (DIPIS) Master of Business Administration (MBA); Master of Arts (Public Administration); Dips(PPA); MA (International Affairs); DIP(IPA); Master of Public Policy and Administration (MPPA); Diploma Indigenous Policy & Adm; M. Sc. Management Master of Philanthropy and Nonprofit Leadership(MPNL); Dip(MPNL) Master of Applied Science (MASc); Master of Computer Science (MCS); Master of Information Technology (DM) Master of Political Management (MPM) Master of Design (MDes); Master of Engineering (MEng); Master of Entrepreneurship; Master of Information Technology (NET) Master of Accounting (MAcc) PhD Engineering; PhD Computer Science; PhD Information Technology (DM) Architecture (MArch), Architectural Studies (MAS); Dip (ArchCon) PhD Architecture Master of Social Work (MSW) PhD Social Work Qualifying year (except Architecture) Qualifying year (Architecture) Senior citizens All other Masters programs; DIP(EPAF); GDip Curatorial Studies; GDip Northern Studies All other PHD programs	3,904	3,513	-10.0%	3,828	3,445	-10.0%
	3,830	3,447	-10.0%	3,755	3,379	-10.0%
	4,217	3,795	-10.0%	4,017	3,615	-10.0%
	3,793	3,413	-10.0%	3,719	3,347	-10.0%
	3,793	3,413	-10.0%	3,719	3,347	-10.0%
	3,287	2,958	-10.0%	3,131	2,817	-10.0%
	3,795	3,415	-10.0%	3,721	3,348	-10.0%
	3,619	3,257	-10.0%	3,447	3,102	-10.0%
	5,569	5,012	-10.0%	5,569	5,012	-10.0%
	3,058	2,752	-10.0%	2,999	2,699	-10.0%
	3,793	3,413	-10.0%	3,613	3,251	-10.0%
	3,444	3,099	-10.0%	3,377	3,039	-10.0%
	3,199	2,879	-10.0%	3,137	2,823	-10.0%
	3,199	2,879	-10.0%	3,137	2,823	-10.0%
	3,637	3,272	-10.0%	3,531	3,177	-10.0%
	4,948	4,453	-10.0%	4,713	4,241	-10.0%
	2,323	2,090	-10.0%	2,278	2,050	-10.0%
	2,905	2,614	-10.0%	2,849	2,564	-10.0%
	2,752	2,476	-10.0%	2,752	2,476	-10.0%
	Part Time Graduate					

Domestic Graduate Students						
	First Year Student			Upper Year Student		
	18-19 1st year	19-20 1st year	Increase	18-19 Upper Yr	19-20 Upper Yr	Increase
Part Time Graduate						
Master of Computer Science (MCS); Master of Applied Science (MASc); Master of Information Technology (DM) up to .59 credits	1,120	1,008	-10.0%	1,067	960	-10.0%
more than .59 credits	1,638	1,474	-10.0%	1,561	1,404	-10.1%
PhD Computer Science; PhD Engineering; PhD Information Technology (DM) up to .59 credits	1,044	939	-10.1%	1,024	921	-10.1%
more than .59 credits	1,526	1,373	-10.0%	1,497	1,347	-10.0%
Master of Social Work up to .59 credits	1,094	984	-10.1%	1,073	965	-10.1%
more than .59 credits	1,594	1,434	-10.0%	1,564	1,407	-10.0%
PhD Social Work up to .59 credits	1,094	984	-10.1%	1,073	965	-10.1%
more than .59 credits	1,594	1,434	-10.0%	1,564	1,407	-10.0%
Master of Human-Computer Interaction (HCI); M.Sc. Health: Science, Technology and Policy(HSTP); Dip(HSTP); Sustainable Energy (M.A., M.Eng, M.A.Sc.) M. Sc Health Sciences up to .59 credits	1,333	1,199	-10.1%	1,307	1,176	-10.0%
more than .59 credits	1,950	1,755	-10.0%	1,912	1,720	-10.0%
Master of Journalism (MJ); Master of Infrastructure Protection and International Security (MIPIS); Diploma in Infrastructure Protection and International Security (DIPIS) up to .59 credits	1,307	1,176	-10.0%	1,282	1,153	-10.1%
more than .59 credits	1,913	1,721	-10.0%	1,876	1,688	-10.0%
Master of Business Administration (MBA) up to .59 credits	1,441	1,296	-10.1%	1,373	1,235	-10.1%
more than .59 credits	2,105	1,894	-10.0%	2,006	1,805	-10.0%
Master of Accounting (MAcc) up to .59 credits	1,904	1,713	-10.0%	1,904	1,713	-10.0%
more than .59 credits	2,784	2,505	-10.0%	2,784	2,505	-10.0%
Master of Arts (Public Administration); Dips(PPA); MA (International Affairs), DIP(IPA), Master of Public Policy and Administration (MPPA); M. Sc Management up to .59 credits	1,297	1,167	-10.0%	1,272	1,144	-10.1%
more than .59 credits	1,894	1,704	-10.0%	1,858	1,672	-10.0%
Master of Philanthropy and Nonprofit Leadership(MPNL); Dip(MPNL) up to .59 credits	1,297	1,167	-10.0%	1,272	1,144	-10.1%
more than .59 credits	1,894	1,704	-10.0%	1,858	1,672	-10.0%
Master of Political Management (MPM) up to .59 credits	1,295	1,165	-10.0%	1,270	1,143	-10.0%
more than .59 credits	1,893	1,704	-10.0%	1,857	1,671	-10.0%
Master of Architecture; Master of Architectural Studies; Dip (ArchCon) up to .59 credits	1,293	1,163	-10.1%	1,232	1,108	-10.1%
more than .59 credits	1,891	1,701	-10.0%	1,802	1,621	-10.0%
PhD Architecture up to .59 credits	1,110	999	-10.0%	1,089	980	-10.0%
more than .59 credits	1,622	1,459	-10.0%	1,591	1,431	-10.1%
Master of Design (MDes); Master of Engineering (MEng); Master of Information Technology (NET); Master of Entrepreneurship up to .59 credits	1,235	1,111	-10.0%	1,177	1,059	-10.0%
more than .59 credits	1,803	1,622	-10.0%	1,718	1,546	-10.0%
Senior citizens up to .59 credits	793	713	-10.1%	778	700	-10.0%
more than .59 credits	1,158	1,042	-10.0%	1,136	1,022	-10.0%
All other Masters programs; Dip(EPAF); GDip Curatorial Studies; GDip Northern Studies up to .59 credits	991	891	-10.1%	972	874	-10.1%
more than .59 credits	1,450	1,305	-10.0%	1,422	1,279	-10.1%
All other PHD programs up to .59 credits	933	839	-10.1%	933	839	-10.1%
more than .59 credits	1,363	1,226	-10.1%	1,363	1,226	-10.1%
Q-Year (except Architecture) up to .59 credits	1,010	909	-10.0%	981	882	-10.1%
more than .59 credits	1,479	1,331	-10.0%	1,436	1,292	-10.0%
Q-Year (Architecture) up to .59 credits	1,150	1,035	-10.0%	1,096	986	-10.0%
more than .59 credits	1,682	1,513	-10.0%	1,603	1,442	-10.0%
Diploma in Conflict Resolution up to .59 credits	1,900	1,710	-10.0%	1,900	1,710	-10.0%
more than .59 credits	3,800	3,420	-10.0%	3,800	3,420	-10.0%

International Students			
	18-19 Fee	19-20 Fee	Increase
Undergraduate Full-time	(per academic year)		
Journalism, Public Affairs and Policy Management, Global and International Studies	28,430	29,282	3.0%
Industrial Design, Architecture and Architectural Studies	31,257	33,757	8.0%
Computer Science	31,552	34,076	8.0%
Bcomm/ BIB	27,045	29,208	8.0%
Engineering	32,402	34,994	8.0%
Media Production and Design	28,798	31,101	8.0%
BIT	29,358	31,706	8.0%
Specials, All Other Programs	24,761	25,503	3.0%
Undergraduate Part-time	(per credit)		
All programs	5,286	5,444	3.0%
Graduate Full-time	(per term)		
Master of Applied Science (MASC); Master of Information Technology (DM)	7,882	8,118	3.0%
Master of Business Administration (MBA)	12,730	13,748	8.0%
Master of Accounting (MAcc)	12,730	13,111	3.0%
Master of Computer Science (MCS)	7,397	7,618	3.0%
PhD Computer Science	6,673	6,673	0.0%
Master of Engineering (MEng); Master of Information Technology (NET); Master of Entrepreneurship	9,005	9,725	8.0%
PhD Engineering; PhD Information Technology (DM)	7,114	7,114	0.0%
Master of Social Work, Master of Architecture; Master of Architectural Studies; Master of Design (MDes); Dip (ArchCon)	7,670	7,900	3.0%
PhD of Social Work; PhD of Architecture	7,021	7,021	0.0%
Master of Journalism (MJ); Master of Arts: Public Administration (MA); Diploma in Public Administration (Dips(PPA)); Master of Arts: International Affairs (MA); Master of Infrastructure Protection and International Security (MIPIS); Human-Computer Interaction (MA,M.A.Sc., M.C.S); M.Sc. Health: Science, Technology and Policy(HSTP); Dip(HSTP); Master of Philanthropy and Nonprofit Leadership(MPNL); Dip(MPNL); Sustainable Energy(M.A., MEng., M.A.Sc.); Master in Political Management (MPM); Dip(IPA); Diploma in Infrastructure Protection and International Security (DIPIS); Master of Public Policy and Administration (MPPA); M. Sc. Management; M. Sc Health Sciences	8,930	9,197	3.0%
Qualifying year (except Architecture)	11,206	11,542	3.0%
Qualifying year (Architecture)	12,448	12,821	3.0%
All other PHD Programs	6,530	6,530	0.0%
All other Masters Programs; Dip(EPAF); GDip Curatorial Studies; GDip Northern Studies	7,233	7,449	3.0%
Graduate Part-time	1.5 credits per term)		
Master of Journalism (MJ); Master of Arts: Public Administration (MA); Diploma in Public Administration (Dips(PPA)); Master of Arts: International Affairs (MA); Master of Infrastructure Protection and International Security (MIPIS); Human-Computer Interaction (MA,M.A.Sc., M.C.S); M.Sc. Health: Science, Technology and Policy(HSTP); Dip(HSTP); Master of Philanthropy and Nonprofit Leadership(MPNL); Dip(MPNL); Sustainable Energy(M.A., MEng., M.A.Sc.); Master in Political Management (MPM); Dip(IPA); Diploma in Infrastructure Protection and International Security (DIPIS); Master of Public Policy and Administration (MPPA); M. Sc. Management; M. Sc Health Sciences up to .59 credits	3,104	3,197	3.0%
more than .59 credits	4,502	4,637	3.0%
Master of Business Administration (MBA); Master of Accounting up to .59 credits	4,110	4,438	8.0%
more than .59 credits	5,958	6,434	8.0%
Master of Accounting up to .59 credits	4,110	4,233	3.0%
more than .59 credits	5,958	6,136	3.0%
Master of Engineering (MEng); Master of Entrepreneurship; Master of Information Technology (NET) up to .59 credits	2,989	3,228	8.0%
more than .59 credits	4,330	4,676	8.0%
Master of Social Work; Master of Architecture; Master of Architectural Studies; Master of Design (MDes); Qualifying year (Architecture); Dip (ArchCon) up to .59 credits	2,683	2,763	3.0%
more than .59 credits	3,886	4,002	3.0%
PhD of Social Work; PhD of Architecture up to .59 credits	2,457	2,457	0.0%
more than .59 credits	3,558	3,558	0.0%
All other Masters Programs; Dip(EPAF); Master of Information Technology (DM); GDip Curatorial Studies; GDip Northern Studies up to .59 credits	2,530	2,605	3.0%
more than .59 credits	3,665	3,774	3.0%
All Other PHD Programs; PhD Information Technology (DM) up to .59 credits	2,284	2,284	0.0%
more than .59 credits	3,309	3,309	0.0%

AGENDA ITEM

6.2

To:	Board of Governors	Date of Report:	3/31/2019
From:	Vice-President (Finance and Administration)	Date of Meeting:	4/25/2019
Subject:	2019/20 Student Association Fees		
Responsible Portfolio:	Vice-President (Finance and Administration)		

1.0 PURPOSE

☒ For Approval ☐ For Information ☐ For Discussion

2.0 MOTION

The Board of Governors approve the 2019-2020 student association fees as presented.

3.0 EXECUTIVE SUMMARY

Student Associations charge fees for their activities. Charges are reviewed annually. All of the fees presented for 2019-2020 are all existing fees, which either remain unchanged, or have been increased subsequent to student referenda, or by the ancillary fee committee. It is recommended that the proposed changes to the Student Association Fees for 2019-2020 be approved for implementation on September 1, 2019. Beginning with 2019-2020 the MTCU has decreed that students must be given the opportunity to opt out of the majority of student association and other non-tuition related fees.

4.0 INPUT FROM OTHER SOURCES

Consulted with the student associations and other university departments. The consumer price index was obtained from Statistics Canada. The opt-out fee directive came from MTCU.

5.0 ANALYSIS AND STRATEGIC ALIGNMENT

Undergraduate Students' Association Fee

The following fees are increased annually by CPI in accordance with previous referenda, and/or by agreement with the CFS:

CKCU	Charlatan
OPIRG	CFS, CFS-Ontario ¹
Accessibility Fund	Unicentre
Clubs and Societies	World Food Program
WUSC	CUSERT
Interval House	Career and Placement
Sock n' Buskin	Carleton Academic Student Government
Garden Spot	

The following changes, not related to CPI, are proposed for 2019-2020:

1. Annual increase of 2.5% in U-Pass, as per agreement between Carleton University and OC Transpo, and passed by referendum held by CUSA in 2012.

¹ Increase calculated by 2.268% as indicated in letter from Canadian Federation of Students

2. Foot Patrol will increase by \$0.90 for full time, undergraduate students. A referendum was held on January 30 and 31, 2019, and the increase was passed.

Undergraduates were asked:

Do you support the increase of the Foot Patrol Levy by \$0.43 a semester, indexed to inflation, to provide Mental Health First Aid and Standard First Aid Training to Foot Patrol volunteers, a second coordinator to support the continued expansion of Foot Patrol, and the creation of an app to facilitate electronic safe walk requests?

The results were as follows:²

Yes 4,761

No 1,860

Abstain 965

Graduate Students' Association Fee

The following fees are increased annually by CPI in accordance with previous referenda, or by agreement with the CFS:

CKCU	Garden Spot
Sexual Assault Centre	The Leveller
OPIRG	CFS, CFS-Ontario
Foot Patrol	GSA Health & Dental ³
	Career and Placement

The following change, not related to CPI, is proposed for 2019-2020:

1. Annual increase of 2.5% in U-Pass as per agreement between Carleton University and OC Transpo, and passed by referendum held by GSA in 2012.

Other Compulsory Fees for CUSA and GSA

In addition to association fees, Graduate and Undergraduate students pay fees for two ancillary operations: Athletics and Health Services. The fees per term for 2019-2020 are as follows:

	Undergrad	Graduate
Athletics ⁴	\$100.29	\$90.29
Health & Counselling Services ⁵	\$33.74	\$33.74

² The referendum was conducted by OIRP on behalf of CUSA. There were a total of 7,592 voters out of an eligible population of 27,997 or 27.1%. This referendum meets the minimum requirement for the participation rate of 15% required per Carleton's Ancillary Fee Referendum protocol.

³ Referendum approved in the 2017-2018 Student Association paper

⁴ Undergraduate fee increased by CPI. Beginning in 2019-20 graduate fee increased by CPI as passed by Ancillary Fee Committee at the March 19, 2019 meeting.

⁵ Increased by CPI, effective starting May 1st.

The following are student society fees, charged only to students within the respective faculty:

	2019-2020 Fee (per term) ⁶	
	Compulsory	Non-Compulsory
Undergraduate – Full time		
CSAAS Architecture Society (fall only)	\$60	\$15
Commerce Society		\$22.50
Sprott (Commerce) Career Levy Fee	\$90	
Engineering Society		\$19
CUESEF Engineering Society		\$25
CIDSA Industrial Design Society (fall only)	\$95	\$15
Graduate – Full time		
Sprott Career Levy	\$90	
Sprott MBA		\$50
Sprott MAcc		\$50
Social Work		\$10

Please see additional proposed student association fee tables attached.

6.0 FINANCIAL IMPLICATIONS

The financial implications for the student associations and related activities resulting from the mandatory opt out provision for the majority of their fees, will be negative. It is not possible to gauge before registration starts in June, how many students will opt out of the fees. The associations are aware of the possible effects and the need for contingency plans.

7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT

The student associations are separate legal entities, and, as such, the risk of declining revenues would not have a direct effect on the university. The associations are however tenants of the University and there is a risk that the revenue shortfall may encroach on their ability to afford the portion of the operating costs they are currently responsible for. In terms of compliance, the administration, and the Student Associations have been working together to provide the necessary on line support for the opt-out program. This system will also provide reports on the opt-out activity so that the associations will be able to assess the impact in a timely manner, and provide the appropriate services to the appropriate students (i.e. those who have not opted out).

8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

Fee changes are routinely posted on the university web site, and are detailed in the registration process. The new opt out feature will be a mandatory part of the registration process and communicated as such. The administration is working with CUSA and GSA to develop a communication's plan. As all Ontario universities must follow the same guidelines, the reputational impact for Carleton in particular should be minimal.

9.0 OVERALL RISK MANAGEMENT ANALYSIS

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

⁶ No increase from 2018-2019 fee.

FULL-TIME UNDERGRADUATE		2018-2019	PROPOSED	INCREASE	2019-2020
- Per Academic Year		Fee	INCREASE	%	Fee
Students' Association		\$44.60	\$1.12	2.50%	\$45.72
Academic Support Peer Tutoring*	\$2.53				
Health & Mental Wellness Initiatives*	\$7.75				
Sexual Violence prevention*	\$3.25				
Ombudsperson*	\$3.76				
Student Life & Success Programs	\$13.83				
Student Opportunities & Spaces	\$14.60				
CKCU Radio		\$14.25	\$0.36	2.50%	\$14.61
OPIRG		\$7.38	\$0.18	2.50%	\$7.56
Accessibility Building Fund*		\$5.86	\$0.15	2.50%	\$6.01
Clubs and Societies		\$7.13	\$0.18	2.50%	\$7.31
Foot Patrol ^{7*}		\$1.75	\$0.90	51.6%	\$2.65
WUSC		\$2.47	\$0.06	2.50%	\$2.53
Interval House		\$0.59	\$0.01	2.50%	\$0.60
Sock n' Buskin		\$0.87	\$0.02	2.50%	\$0.89
Garden Spot		\$2.33	\$0.06	2.50%	\$2.39
Charlatan		\$5.75	\$0.14	2.50%	\$5.89
Carleton Legal Project		\$4.50	\$0.00	0.00%	\$4.50
Debating Society		\$1.00	\$0.00	0.00%	\$1.00
Canadian Federation of Students (National & Provincial) ⁸		\$16.74	\$0.38	2.27%	\$17.12
Carleton Engineers Without Borders		\$2.00	\$0.00	0.00%	\$2.00
CUSA Drug/Accident/Dental Ins.**		\$192.77	\$14.20	7.37%	\$206.97
University Centre Fee*		\$52.03	\$1.30	2.50%	\$53.33
Millennium Village Fee		\$6.00	\$0.00	0.00%	\$6.00
UPass Fee ^{9**}		\$415.04	\$10.38	2.50%	\$425.42
UPass Admin Fee**		\$4.32	\$0.11	2.50%	\$4.43
World Food Program		\$2.17	\$0.05	2.50%	\$2.22
CUSERT*		\$2.67	\$0.07	2.50%	\$2.74
CUSA Bursary Fund		\$2.00	\$0.00	0.00%	\$2.00
Career and Placement*		\$10.14	\$0.25	2.50%	\$10.39
Carleton Academic Student Government		\$1.17	\$0.03	2.50%	\$1.20
		\$805.53	\$29.95	3.72%	\$835.48

* Compulsory fees

** Compulsory fees with previously established opt-out procedures.

⁷ Increased as per referendum passed for the 2019-20 fees.

⁸ CFS and CFS-O increased by \$0.18 and \$0.20 respectively, or 2.268% as per letter received from CFS.

⁹ Annual increase of 2.5% as per agreement between Carleton University and OC Transpo, and passed by referendum held by CUSA in 2012.

20% of Full Time Fee¹⁰**PART-TIME UNDERGRADUATE**

- Per Full Credit Course	2018-2019 Fee	PROPOSED INCREASE	INCREASE %	2019-2020 Fee
CKCU Radio	\$2.85	\$0.07	2.50%	\$2.92
OPIRG	\$1.48	\$0.04	2.50%	\$1.52
Accessibility Building Fund*	\$1.17	\$0.03	2.50%	\$1.20
Clubs and Societies	\$1.43	\$0.04	2.50%	\$1.47
Foot Patrol ^{11*}	\$0.35	\$0.18	51.6%	\$0.53
WUSC	\$0.49	\$0.01	2.50%	\$0.50
Interval House	\$0.12	\$0.00	2.50%	\$0.12
Sock n' Buskin	\$0.17	\$0.00	2.50%	\$0.18
Garden Spot	\$0.47	\$0.01	2.50%	\$0.48
Carleton Legal Project	\$0.90	\$0.00	0.00%	\$0.90
Debating Society	\$0.20	\$0.00	0.00%	\$0.20
Canadian Federation of Students (National & Provincial) ¹²	\$3.35	\$0.08	2.27%	\$3.43
Millennium Village Fee	\$1.20	\$0.00	0.00%	\$1.20
World Food Program	\$0.43	\$0.01	2.50%	\$0.44
CUSA Bursary Fund	\$0.40	\$0.00	0.00%	\$0.40
Student Association Fee	\$8.92	\$0.22	2.50%	\$9.14
Academic Support Peer Tutoring*	\$0.51			
Health & Mental Wellness Initiatives*	\$1.55			
Sexual Violence prevention*	\$0.65			
Ombudsperson*	\$0.75			
Student Life & Success Programs	\$2.77			
Student Opportunities & Spaces	\$2.92			
Charlatan	\$1.15	\$0.03	2.50%	\$1.18
Carleton Academic Student Government	\$0.23	\$0.01	2.50%	\$0.24
Career & Placement*	\$2.00	\$0.05	2.50%	\$2.05
CUSERT*	\$0.54	\$0.01	2.50%	\$0.55
University Centre*	\$10.41	\$0.26	2.50%	\$10.67
	\$38.26	\$1.05	2.75%	\$39.32

*Compulsory fees

¹⁰ 20% of full time rate; excludes UPass, Health & Dental.

¹¹ Increased as per referendum passed for the 2019-20 fees.

¹² CFS and CFS-O increased by \$0.08 or 2.268% as per letter received from CFS.

FULL-TIME GRADUATE		2018- 2019 Fee	PROPOSED INCREASE	INCREASE %	2019- 2020 Fee
- Per Term					
Graduate Students' Association		\$90.06	\$2.25	2.50%	\$92.31
Academic Support*	\$7.00				
Career Services*	\$6.00				
Health & Wellness Programming*	\$7.40				
Ombuds Services Fee*	\$1.86				
Unicentre Fee*	\$12.28				
Community Engagement & Student Advocacy	\$17.64				
Grants, Scholarships, & Awards	\$33.63				
Support Centres	\$6.50				
GSA Capital Development Fund*		\$3.00	\$0.00	0.00%	\$3.00
GSA Accessibility Fund*		\$3.00	\$0.00	0.00%	\$3.00
GSA Sexual Assault Centre Fund*		\$1.11	\$0.03	2.50%	\$1.14
Canadian Federation of Students ¹³		\$8.37	\$0.19	2.268%	\$8.56
OPIRG		\$3.62	\$0.09	2.50%	\$3.71
WUSC		\$0.60	\$0.00	0.00%	\$0.60
Foot Patrol*		\$0.42	\$0.01	2.50%	\$0.43
Charlatan		\$1.92	\$0.05	2.50%	\$1.96
CKCU Radio		\$3.53	\$0.09	2.50%	\$3.62
Garden Spot		\$1.17	\$0.03	2.50%	\$1.20
The Leveller		\$1.71	\$0.04	2.50%	\$1.76
U-Pass**		\$207.52	\$5.19	2.50%	\$212.71
U-Pass Admin Fee (per year)**		\$4.32	\$0.11	2.50%	\$4.43
Career and Placement*		\$3.33	\$0.08	2.50%	\$3.41
GSA Health & Dental (per year) **		\$393.00	\$9.83	2.50%	\$402.83
		\$726.67	\$17.98	2.47%	\$744.65

PART-TIME GRADUATE

30% of full-time fee ¹⁴

- Per Term					
		\$36.55	\$0.86	2.35%	\$37.41

*Compulsory fees

**Compulsory fees with previously established opt-out procedures.

¹³ CFS increased by \$0.19 or 2.268% as per letter received by CFS

¹⁴ Excluding UPass, GSA Health & Dental.

AGENDA ITEM

6.3



Carleton
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Canada's Capital University

Responding to Disclosures of Sexual Violence

Board of Governors
April 25, 2019





Carleton
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Introduction

Canada's Capital University

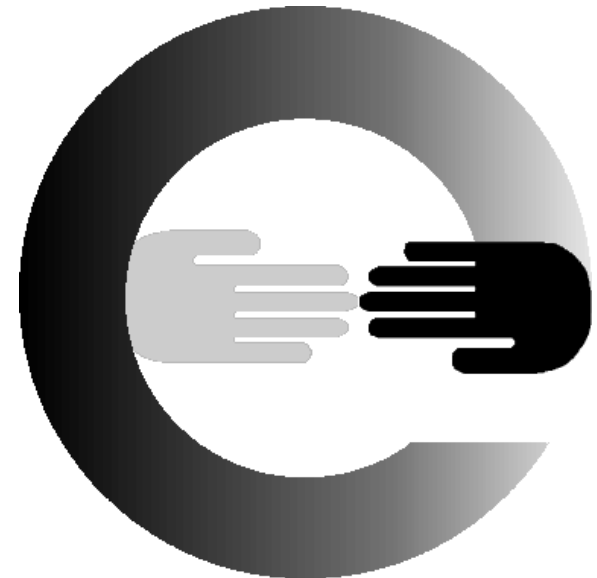
Bailey Reid

Coordinator of Sexual Assault Services
Equity Advisor

Department of Equity Services

613.520.2600 ext. 8454

bailey.reid@carleton.ca





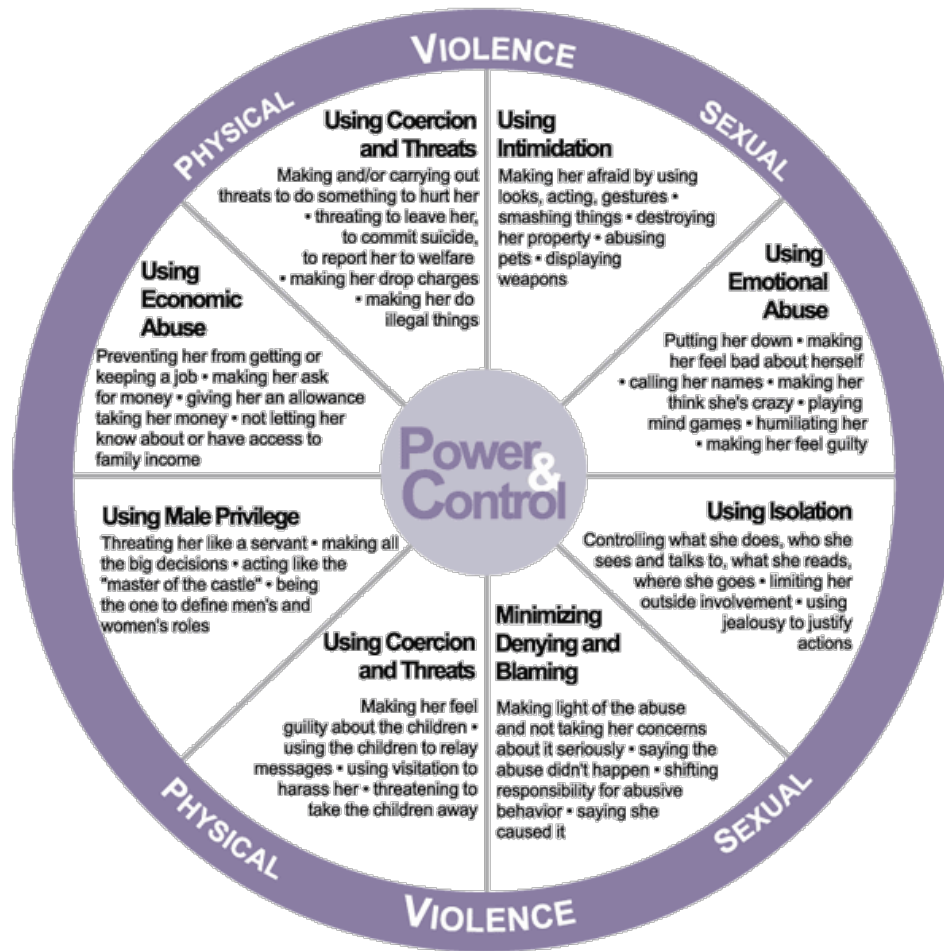
Definitions

- Sexual Violence
- Sexual Harassment
- Sexual Assault
- Consent





Sexual violence is about power



- Assuming that sexual violence is about sex or passion is problematic, because it allows rape myths to continue.
- Rape myths include:
 - | She was asking for it
 - | He was intoxicated
 - | It was "grey rape"
 - | She's lying because...



Trauma-Informed Approaches

- How do we talk about this safely?

The Four R's of TIC

1

Realize

All people at all levels have a basic **realization** about trauma, and how it can affect individuals, families, and communities.

3

Respond

Programs, organizations and communities **respond** by practicing a trauma-informed approach.

Recognize

People within organizations are able to **recognize** the signs and symptoms of trauma.

2

Resist Re-Traumatization

Organizational practices may compound trauma unintentionally, trauma informed organizations avoid this **re-traumatization**.

4



Protocol for Disclosure

Let me know how I can best support you.
I will help you stay safe however I can.

I am here for you. You can tell me as much
or as little as you need to right now.

Whatever you did to survive the
situation was the right thing to do.

I'm so glad you told me,
and I'm very proud of you.

Regardless of ... how you were dressed,
how much you drank, if you were flirting...
there is no excuse for sexual assault.
No one deserves to be raped.

**what to say if your student
discloses they were assaulted.**

You are not crazy. You are reacting normally
to a very difficult and scary situation.

That must have been a very ...
disturbing/ scary/ terrifying/ uncomfortable/ frightening
...experience.



Receiving a disclosure

- **Believe.** Tell them that what happened is not their fault. Avoid “why” questions. Validate feelings.
- **Listen.** It takes courage to speak out. Give space. Try not interrupt. Actively listen.
- **Explore options.** Inform them of supports available (through Equity). It is their choice to pursue any next steps.
- **Practice self-care.** Seek support if you need it. Equity Services can assist in referrals and debriefs.



More Info about disclosure

- Anyone who discloses sexual violence will be treated with dignity and respect at all times by the University and its representatives
- In an emergency, a report can be made by calling Campus Safety, 911, or through the on-campus emergency phones/blue lights
- If Campus Safety is notified, they will inform Equity Services and Equity Services will follow-up with the individual.
- In a non-emergency, Equity Services will work with the survivor for accommodations, health supports, and other needs
- Equity Services will also work with the person to determine the outcome sought, and the role the University has in keeping the community safe



Campus Resources

- **Bailey Reid**
Equity Advisor and Coordinator
of Sexual Assault Services:
613-520-2600 ext. 8454
- **Campus Safety**
carleton.ca/safety | Emergency:
613-520-4444
- **Health and Counselling
Services**
carleton.ca/health | 613-520-
6674
- **Sexual Assault Centre Peer
Support Line**
613-620-1030
- **CUSA Gender and Sexuality
Resource Centre**
@CUSA_GSRC | 613-520-2600
x.3723
- **CUSA Womyn's Centre**
@Womyns_Centre | 613-520-
2600 x.2712
- **CUSA Foot Patrol**
613-520-4066
- **Graduate Students'
Association Sexual Assault
Outreach Coordinators**

Carleton Sexual Assault Centre

- **Located at: 3800 CTTC, 613-520-5622**
- **Open Mon-Fri 8:30-4:30pm. We do have additional hours based on volunteer availability**
- **Information and referrals**
- **Academic support**
- **Peer support**
- **Library**



carleton.ca/equity



facebook.com/carletonSASC



[@CUSASC](https://twitter.com/CUSASC)



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Thank you!

Canada's Capital University

Questions?



BOARD OF GOVERNORS REPORT

To:	Board of Governors	Date of Report: 18 April 2019
From:	Vice-President (Students and Enrolment)	Date of Meeting: 25 April 2019
Subject:	Carleton University Sexual Violence Policy	
Responsible Portfolio:	Vice-President (Students and Enrolment)	

1.0 PURPOSE

☒ For Approval ☐ For Information ☐ For Discussion

2.0 MOTION

The proposed motion is for the Board of Governors to approve the revised Sexual Violence Policy.

3.0 EXECUTIVE SUMMARY

In the Fall 2018 and Winter 2019, Carleton University undertook an extensive consultation and review of the Sexual Violence Policy. Feedback on the policy was provided by members of the community through consultation meetings, design-thinking workshops and online submissions. Throughout the listening phase of the consultation process, several main themes emerged:

- Policy Administration
 - Accommodation process
 - Composition of the Sexual Violence Review Committee (SVRC)
 - Immunity clause for drug and alcohol use
 - Off campus and non-Carleton community member processes
 - Accessibility of the Policy
 - Question of false claims and due process, including restorative or educational options
- Response
 - Communication around timelines including the appeal time limit
 - Faculty-student relationships
 - Confidentiality constraints, including speaking publicly about the experience
 - Face-to-face meetings
 - Fear of reprisal
- Education and Continuous Improvement
 - Role of the Sexual Violence Prevention and Education Committee (SVPEC)
 - Support services offered

Throughout the drafting phase of the consultation process, additional themes emerged through feedback from the Carleton community:

- Policy Administration
 - Changing role of Equity Services
 - Inclusivity of the Policy
- Response
 - Formal process
 - Interim measures
 - Relationships
 - Support person
- Education and Continuous Improvement
 - Reporting options
 - Commitment to education

- Transparency

Two reports have been organized by these themes and have the aggregated feedback received during the consultation process. This feedback has been examined and assessed in the review of the Sexual Violence Policy and updates to the Policy have been made based on this feedback where appropriate. The attached policy includes the tracked changes that demonstrate the revisions and additions made. The changes include:

- Improved accessibility of policy;
- Relationship guidelines strongly discouraging relationships with students/staff and disclosure requirements;
- Clarified definitions;
- Strengthened role of SVPEC to make recommendations on the policy
- Strengthen and revised composition of SVRC;
- Clarified who a support person may include;
- Clarified confidentiality and ensure compliance with legal requirements;
- Providing timely progress updates that meets the specific needs of the parties in a complaint process;
- Immunity clause for minor drug/alcohol offense;
- New conflict of interest, alternative resolution (including restorative and educational options) and procedural fairness clauses;
- Strengthened accommodation and interim measures process;
- Clarified application of policy to visitors and individuals that the University does not have jurisdiction over;
- Clarified that parties can request accommodations from the SVRC regarding their participation at any meetings; and
- Revised appeal timelines to 15 days.

At their March 6, 2019 meeting the Governance Committee reviewed the draft policy and provided additional feedback. The feedback is incorporated into the revised Policy as follows:

- For accessibility and ease of use, dividing the policy into Part A: Policy and Support Services and Part B: Complaint Process and Procedure;
- Adding a Table of Contents for accessibility and ease of use;
- Revised s. 2.2(c) to add the word “relevant” before Dean;
- Adding to s. 5.3 that the Office of the VP Students and Enrolment is responsible for the annual report;
- Adding “as described in Article 8.10 below” to s.8.5(c);
- Deleting a sentence in s. 8.11 that started with “the duty to be fair is context[...]”;
- Adding the word “advisor” to s.8.4;
- Revised composition of the Appeal Board;
- Adding to s.12.1 that in the event of conflict between related policies, the Sexual Violence Policy takes precedence to the extent of the conflict.

Following the close of the consultation process, the Governance Committee met on April 15, 2019 to review the revised policy incorporating additional feedback as well as the reports enclosing all of the feedback received by the University throughout the nine-month consultation process. After a fulsome review and discussion, the Committee provided some final feedback on the policy. The feedback is incorporated into the revised policy as follows:

- Adding to s.7.4 that decisions related to confidentiality will be made by the Vice-President Students and Enrolment with consultation of the General Counsel and Privacy Officer;
- Clarified wording in s.8.11 related to procedural fairness and questions of credibility;
- Clarifying that the Complainant will be advised of interim measures in s.8.12 where permitted by FIPPA for health and safety reasons;
- Clarifying in s.10.3 that the Complainant or the Respondent as the case may be will be notified of any appeal.

The Governance Committee approved the policy and recommends that the revised policy be approved by the Board of Governors. The policy was also reviewed and approved by the Senior Management Committee at its March 28, 2019 meeting.

4.0 INPUT FROM OTHER SOURCES

The policy has gone through a robust multi-phase transparent consultation process. Feedback and input on the policy was received and provided through an online website feedback form, a total of 19 design-thinking workshops and in person consultation meetings, including with key stakeholder groups. Consultation meetings occurred with:

- Carleton University Students' Association (CUSA), Graduate Students' Association (GSA), OurTurn, Rideau River Residence Association (RRRA), Carleton Academic Student Government (CASG) and Student Governors
- CUASA, CUPE 2424, 910, 3778, 4600, CUPU, OPSEU 404 and the Governance Committee

Additionally, and as part of the commitment to providing a transparent process, a report outlining the feedback received throughout the listening phase of the review process has been made available on the feedback received web page.

Members of the Carleton community were encouraged to review the revised draft of the policy and provide additional feedback and comments using an anonymous form or by contacting svpolicy@carleton.ca. A report outline the feedback received during the drafting phase was made available in mid-April. An ongoing record of all community outreach activities in relation to the policy review process is also kept on the web page. <https://carleton.ca/sexual-violence-support/sexual-violence-policy-consultation/>

5.0 ANALYSIS AND STRATEGIC ALIGNMENT

Pursuant to Bill 132, the University is required to have a stand-alone sexual violence policy which is reviewed and approved every three years by the Board. The purpose of Carleton's Sexual Violence Policy is to articulate Carleton University's commitment to a safe, supportive and healthy campus and to confirm its commitment to provide support to those members directly affected by sexual violence. As such, the policy sets out the University's statement of values and commitments to address sexual violence; provides information about supports and services available at Carleton University and in the community; ensures follow-up once a report is made to the University and provides information about the University's process for responding to and addressing incidents and complaints of sexual violence.

While the Sexual Violence Policy has provided enough flexibility to support survivors while balancing the requirement for procedural fairness, opportunities to further clarify and improve policy language were noted. Beginning in September 2018, the Office of the Vice-President (Students and Enrolment) and Equity Services undertook an extensive and collaborative consultation process with the university community to review and revise the Sexual Violence Policy.

Following the completion of the listening phase, the OVPSE, Equity Services, General Counsel and Housing met to review all the feedback received and discussed appropriate revisions and improvements. Updates to the Sexual Violence Policy were made by General Counsel based on feedback from members of the Carleton community while balancing legal requirements. Subsequently, a draft of the policy was released to the Carleton community for feedback. After reviewing additional feedback received, further updates to the Sexual Violence Policy were made by General Counsel based on feedback from members of the Carleton community while balancing legal requirements. The draft was reviewed by the Governance Committee at meetings on March 6 and April 15 in detail and additional feedback was incorporated while ensuring legal requirements were met. The revised Sexual Violence Policy is now presented to the Board of Governors for approval on April 25, 2019 and is recommended for approval by the Governance Committee.

At this time, the extensive consultation and review process has included 21 consultation meetings with stakeholder groups and 19 design-thinking workshops. In addition, Equity Services, in partnership with OVPSE set up a consultation website on the Sexual Violence Policy review process. Members of the Carleton community also submitted feedback on the Sexual Violence Policy consultation website, or through email. More than 100 people were consulted as part of this review.

Many of the feedback items identified in the feedback on the Sexual Violence Policy will be used in the development of the Campus Sexual Violence Prevention Strategy. This strategy will be created by the SVPEC and will serve as their work plan. The SVPEC continues to be committed to providing sexual violence training and information to members of the university community. Since January 2018, **over 5,000 members** of the campus community were trained on response to sexual violence, including specialized training for varsity athletes, Campus Safety Services, and Fall Orientation leaders.

6.0 FINANCIAL IMPLICATIONS

There are no financial implications associated with the review of and revisions to the policy.

7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT

The policy is required to meet the University's obligations under Bill 132 including in particular *the Ministry of Training, Colleges and Universities Act* and the *Occupational Health and Safety Act* with respect to sexual violence, sexual harassment, and workplace sexual harassment. In addition, the policy reinforces and enhances the Carleton University Statement on Conduct and Human Rights and related policies and procedures addressing sexual violence, sexual harassment and workplace sexual harassment. The revisions to the policy were made to strengthen the processes therein, improve procedural fairness and addressing the feedback received by the community while ensuring the standards required by Bill 132 and the law were maintained. Failure to have a properly revised policy that complies with legal requirements could expose the University to significant reputational and legal risk.

8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

If approved, the revised Sexual Violence Policy will be communicated to the Carleton community through standard communication channels. This will include a message from the President announcing the approved policy and thanking community members for their feedback and contributions throughout the consultation process. In addition to an email, information about the revised policy will be provided through the current student website, the Carleton Mobile app, social media and the Carleton Top 5. Promotion of the revised policy will also include the Campus Sexual Violence Prevention Strategy once completed. Ongoing communications regarding the education and prevention of sexual violence at Carleton University will continue each year. We will also undertake the creation of a flow chart to a flowchart to explain the policy, processes and options available for both formal and informal complaints.

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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>



Carleton
U N I V E R S I T Y

Sexual Violence Policy



Policy Name: Sexual Violence Policy
Originating/Responsible Department: Office of the Vice-President (Students and Enrolment)
Approval Authority: Board of Governors
Date of Original Policy: December 1, 2016
Last Updated: April X 2019
Mandatory Revision Date: April X 2022
Contact: Vice-President (Students and Enrolment)

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PART A: POLICY AND SUPPORT SERVICES

1. Purpose of the Policy

1.1. As a community, Carleton University supports and is committed to maintaining a positive learning, working and living environment where sexual violence will not be tolerated and is treated with the seriousness it deserves. Carleton

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acknowledges that individuals who are members of equity-seeking groups who experience intersecting forms of disadvantage based on the protected grounds in the Ontario Human Rights Code may be disproportionately affected by sexual violence and its consequences. The purpose of this Policy is to articulate Carleton University's commitment to a safe, supportive and healthy campus and to confirm its commitment to provide support to those members directly affected by sexual violence.

1.2. This Policy is also intended to:

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

2. Carleton's Commitment and Values

2.1 Carleton is committed to:

- a) Continually fostering an environment where members of the University community can live, study and work free of sexual violence;
- b) Recognizing that anyone can be harmed by sexual violence and that it is a fundamental affront to an individual's rights, dignity and integrity;
- c) Seeking first to prevent and then to redress sexual violence, by safely intervening and speaking out when the University sees it occurring;
- d) Adopting a survivor-centered approach to providing services to those who have experienced sexual violence;
- e) Ensuring that members of the University community who experience sexual violence are supported, treated with compassion and appropriately

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accommodated;

- f) Addressing acts of sexual violence in the University community;
- g) Combating broader societal attitudes regarding gender, sex and sexuality that normalize sexual violence and undermine equality;
- h) Providing or making available to members of the University community education and awareness training on this Policy and on the prevention of sexual violence, with content tailored to the audience and relevant to their role and responsibility in responding to and addressing sexual violence; and,
- i) Maintaining and reporting annual statistics, without identifying information, on disclosed and reported incidents of sexual violence on campus, and in accordance with legislative requirements.

2.2 Consensual Romantic or Sexual Relationship Guidelines

- a) As stated in the University's Human Rights Policies and Procedures, the University recognizes that, within its community, power differences exist between and among faculty, staff, students and associated professionals. The University strongly discourages consensual sexual or romantic relationships between individuals in positions of authority (such as faculty, instructional staff, managers or supervisors, and athletic staff), and the students or employees whose performance they are responsible for grading, supervising or evaluating. These relationships may lead to significant problems including allegations or charges of sexual harassment, conflict of interest, or questions regarding the validity of consent. Pedagogical relationships and the workplace must be protected from influences or activities that can interfere with learning, personal development and the working environment. For these reasons, the University strongly discourages faculty and staff from commencing or continuing any consensual or sexual relationship with a student or employee they are in a position of authority over and emphasizes that such relationships are to be avoided.
- b) If notwithstanding the forgoing, a consensual romantic or sexual relationship is not avoided, any existing or past relationship must be disclosed pursuant to these guidelines and the University's Human Rights Policies and Procedure.
- c) Accordingly, the University requires timely disclosure of such relationships by the individual in the position of authority to the relevant appropriate authority as follows: the relevant Dean, University Librarian, Vice-President, or the President as appropriate.
- d) Any and all appropriate actions required to manage the conflict of interest will be taken including but not limited to those outlined in the Human Rights Policies and Procedures. At a minimum the individual in the position of authority involved in a relationship, must remove themselves from the grading or supervising role and appropriate alternative arrangements will be put in place.
- e) Actions in violation of these guidelines and/or the Human Rights Policies and Procedures are considered to be unprofessional conduct and may be subject to discipline under the collective agreement or employment agreement the employee is subject.

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3. Scope of the Policy

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

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4. Definitions

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

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

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

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

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

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

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

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

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

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“Sexual assault” means any kind of sexual contact without a person's consent. It can include unwanted kissing, fondling, oral or anal sex, intercourse, other forms of penetration, or any other unwanted contact of a sexual nature.

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

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

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

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

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

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

or while acting in a capacity defined by their relationship to the University;

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

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

5. Education, Prevention and Awareness

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

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

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

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across the university to serve on the committee. Generally speaking the purposes of the SVPEC will be to:

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

5.3. The Board of Governors shall receive and consider annual reports from the Office of the Vice-President Students and Enrolment in respect of sexual violence, including the following:

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

6. Support Services and Disclosure

6.1. General provisions about reporting and disclosure

- a) At any time, a person who has experienced sexual violence may consult with or seek advice and support from the relevant student association, union or other employee group.

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- b) If an incident of sexual violence is disclosed to a member of the University community, the person to whom it is reported has a duty to refer the person to this Policy and inform the person that the Sexual Assault Support Centre within Equity Services (hereafter “Equity Services”) is the office to contact in order to get information about the availability of supports and services.

6.2. Support and Services

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

Support and services available from the University:

Sexual Assault Support Centre
613-520-5622
www.carleton.ca/equity

Health and Counselling Services
613-520-6674
www.carleton.ca/health

Campus Safety Services
General inquiries: 613-520-3612
Emergencies: 613-520-4444
www.carleton.ca/safety

Support and services available from off-campus providers:

Ottawa Police Service
General Inquiries: 613-236-1222
www.ottawapolice.ca

Ottawa Rape Crisis Centre
24 hour crisis line: 613-562-2333
General inquiries: 613-562-2334
www.orcc.net

Sexual Assault Support Centre of Ottawa

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24 hour support line: 613-234-2266
General Inquiries: 613-725-9259

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

6.3 Disclosure in an emergency – [Campus Safety Services](#)

- a) In an emergency on campus (i.e., imminent threat of sexual violence and of harm to a person or sexual violence actually occurring) a report can be made [24 hours per day, 7 days a week, 365 days per year](#) in the following ways:
- Call 911 ([and notify Campus Safety Services](#))
 - [Campus Safety Services](#) emergency number 613-520-4444
 - Red telephones and yellow call boxes (located in building lobbies, corridors, computer labs and parking garages) connect directly with [Campus Safety Services](#).
 - Blue Light Assistance Phones located outside on campus grounds, in parking garages and in the tunnel system provide a direct link with [Campus Safety Services](#).
 - Public telephones on campus – free to dial 613-520-4444 or 911
 - In person: University Safety Office – 203 Robertson Hall
- b) When a person discloses an incident of sexual violence to [Campus Safety Services](#), [Campus Safety Services](#) must inform Equity Services for follow-up. See paragraph 6.4 of this Policy.

6.4 Disclosure in a non-emergency – Equity Services

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

6.5 Follow-up on disclosure [and Accommodations](#)

a) When a person reports sexual violence to Campus Safety Services and/or Equity Services, an Equity Services Advisor will contact the person to learn more about the circumstances, the person's needs and expectations, and the outcome sought. The Equity Services staff member will make every effort to assist the person and will discuss options to address or resolve the matter in a timely and supportive way. The appropriateness of these options will depend on the person's needs and on the circumstances. The following list of examples (which is not exhaustive) includes:

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

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

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

- Vice-President Students and Enrolment or designate (Chair)
- Director of Health and Counselling Services or designate
- Director of Campus Safety Services or designate
- Director of Student Affairs (when the Complainant or Respondent is a student) or designate

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- Manager, Labour Relations (when the Complainant or Respondent is an Employee) or designate

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

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

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

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

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7. Confidentiality

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

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

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7.3. The University will make every reasonable effort to maintain confidentiality when it becomes aware of an incident of sexual violence and will limit disclosure of information about individuals to those within the University who need to know for the purposes of, or those consistent with, addressing the situation, investigating or taking corrective action. Under the following circumstances, however, the

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University might face additional legal obligations and may not be able to guarantee complete confidentiality if:

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

7.4. If a person requests that the University not act on a report of sexual violence, the University must weigh that person's request against the University's legal obligation to take action and provide a learning, living and work environment that is safe and free from sexual violence for all members of the University community. Decisions required under section 7 will be made by the Vice-President, Students and Enrolment following consultation with the General Counsel and Privacy officer as appropriate.

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PART B: COMPLAINT PROCESS AND PROCEDURE

8. General Provisions Regarding the Formal Report and Complaint Process

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8.1 External reporting and recourse

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

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

a) A person may choose not to file a formal complaint under Section 9 of this Policy. If a person decides not to file a formal complaint or requests that the University not investigate, the full range of supports and services outlined in this Policy remain available to that person. To the greatest extent possible, the

University will respect the person's choice not to proceed with a formal complaint or request that the University not investigate.

b) A Complainant who has filed a formal complaint may withdraw the complaint in writing at any time. However, the Sexual Violence Review Committee (SVRC) may still initiate an investigation if it has reason to believe that a member of the University community or broader community may be at risk of harm, or if the Sexual Violence Review Committee determines that the University has a legal obligation to investigate. In such cases, subject to legal requirements, the person has the right not to participate in such an investigation. The SVRC will appoint an Investigator who will investigate the matter and provide the SVRC with a written confidential report containing the facts and information gathered during the investigation. The Sexual Violence Review Committee will consult with internal authorities on the investigation report and on the appropriate means for further addressing the matter.

8.3 Harassment and/or discrimination

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

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8.4 Support person

The Complainant or the Respondent can be accompanied by a support person of their choice at any time during the formal complaint process outlined in this Policy. The support person may be a friend, family member, advisor and employee union representative. The support person may not be a person who is a witness in the complaint process. The support person may provide encouragement or other emotional or moral support and may accompany the Complainant or Respondent to meetings. The support person's role is not to act or speak on behalf of the Complainant or Respondent. Representations (both oral and written) must come directly from the Complainant and Respondent. The support person must also agree in writing to maintain confidentiality in accordance with this Policy. Parties will also be offered access to a support person as follows:

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

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8.5 Confidentiality

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

- a) Confidentiality of information disclosed at any time pursuant to this Policy is to be maintained to the extent possible, consistent with the University's need to respond appropriately to the situation and to the safety of members of the University community. This means that information about the situation may be disclosed as provided for in this Policy only to those who need to know in order to investigate and/or address the formal complaint.
- b) To ensure procedural fairness while a formal complaint process is underway, the Complainant, the Respondent and others who may have knowledge of the matter, including a support person, must maintain confidentiality in accordance with this Policy and not make public statements (for example: media, public and/or social media statements) that may jeopardize the proper handling of the matter. The confidentiality obligations during the complaint process do not prevent a person from seeking counselling, treatment, support services or from speaking to friends and family for support. Any questions regarding confidentiality obligations under this Policy can be clarified by contacting the individual who receives the formal complaint.
- c) Information disclosed by a person during an alternative resolution, under this Policy as described in Article 8.10 below is without prejudice to that person and cannot be used during subsequent steps in handling the matter or in the formal complaint process under this Policy. Any person conducting an alternative resolution of a complaint cannot be called to testify in a subsequent proceeding in relation to information disclosed during alternative resolution, unless ordered or compelled by a court, tribunal or arbitrator.
- d) Documents and information related to a formal complaint, including the written formal complaint, written responses, witness statements, investigation notes and reports, and documents related to the formal complaint and its investigation will be securely maintained by Student Affairs or Human Resources as appropriate (see section 9.1 below).

8.6 Timelines and Timely Progress Updates Provided to Parties

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The intention of this Policy is for the complaint process and each of its steps to be completed as expeditiously as practicable without compromising appropriate procedural fairness for all parties. The timelines mentioned in this Policy are meant to ensure that the matters are dealt with in a timely fashion. There may be, in compelling circumstances, reasons to extend a timeline. In such cases, where the request is in good faith and the extension does not prejudice or harm those involved in the complaint, extensions may be granted. It can be difficult to determine appropriate timelines for the resolution, investigation or a final disposition with respect to a formal complaint. Therefore, where no timelines are mentioned in this Policy, the intention is always to use a reasonable time period and to act as expeditiously as possible in light of the nature and complexity of the circumstances of the complaint and in light of other circumstances that may arise during the process that are beyond a party's reasonable control.

The Parties will receive regular updates on the progress of their case, estimated timeframes and any delays related to the matter. The types and frequency of these updates will be determined through discussion with each party.

8.7 Applicable collective agreements

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

8.8 Conflict of Interest

If a University official has a real or apparent conflict of interest in a particular matter or there is a reasonable apprehension of bias, then that individual will not continue their involvement in the matter and the University will appoint an appropriate individual to act in that role for the purposes of that matter.

8.9 No Prosecution of Minor Drug and Alcohol Offences

The University recognizes that some individuals may be hesitant to disclose or report sexual violence in cases where there they have been drinking under age or were using drugs at the time the sexual violence took place. A Complainant acting in good faith who discloses or reports sexual violence will not be subject to actions for violations of university policies related to drug and alcohol use at the time the sexual violence took place.

8.10 Alternative Resolution

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In appropriate circumstances, a Complainant may be willing to resolve the matter before an investigation is commenced or completed, or before a decision is made by the SVRC. A Respondent could also initiate an alternative resolution process by notifying Equity Services. Equity Services will follow-up with the Complainant and respondent to determine their willingness to participate in an alternative resolution process. For it to be a meaningful process, participants must engage voluntarily and remain free from reprisal. At any stage during the process, either the Complainant or the respondent may indicate they would like the complaint to move to or resume the investigation and decision-making process. Examples of alternative resolution include mediation/facilitation, restorative justice, education or similar methods.

If the Complainant and Respondent are able to reach a resolution, a written record of the resolution will be prepared by Equity Services to be signed by both parties. The signed resolution will be kept in Equity Services. A copy of the signed agreement will be provided to the Complainant and Respondent, and may be provided to relevant university administrators if it is required to implement the terms of resolution. If there is a failure to comply with the terms of a resolution, the complaint may be moved to an investigation and decision-making process.

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8.11 Procedural Fairness

The University has a duty of procedural fairness to the parties with respect to the process by which investigations and decisions are made that may result in findings of sexual violence and may potentially impose serious consequences against a member of the University community who has engaged in such conduct. The basic requirements of procedural fairness is that a person against whom allegations are made, must know the allegations and evidence against them, and must be given the opportunity to answer prior to a decision being made. Further to the right to know, Complainants and Respondents will also have notice of the investigation and decision making process, and will have the matter decided by impartial decision makers. If credibility of any fact or issue is in question, Complainants and Respondents may appear in person and make oral representations to a decision maker, and comment and ask questions with respect to the evidence in accordance with this policy. As such, the University reserves the right to adjust the process to ensure procedural fairness in accordance with the facts of the individual case with notice to the Complainant and the Respondent.

8.12 Interim measures

In some circumstances, it may be necessary to implement interim measures, which are temporary measures put in place to protect the parties and the community during the process. Interim measures may be implemented as part of

accommodations, during the formal complaint process and pending a final decision. Where Interim measures are necessary, the University will seek to implement the least disruptive measures that still promote safety and security. Such measures are without prejudice to the ultimate outcome of the complaint process and are not intended to be disciplinary in nature. The Sexual Violence Review Committee can review the implementation of interim measures to ensure the measures are appropriate in the circumstances. A party may request modifications to Interim Measures and make a written submission in support of their request to the SVRC for its consideration. All requests for modification will be considered in relation to the circumstances of the individual case and in relation to the University community including its safety. A non-exhaustive list of examples of such interim measures is outlined in paragraph 6.5 (a) of this Policy. Additional examples of Interim Measures that might be considered include:

- Changes within university housing if the parties are residents
- Restrictions to access campus or part of campus
- No contact/communication orders
- Employment/workplace restrictions
- Changes to class and/or section enrollments

Non-compliance with the interim measures may result in additional measures and/or discipline being imposed. The Complainant will be advised of interim measures imposed where permitted by FIPPA for health and safety reasons.

9. Formal Complaints Process

9.1. Filing and initiating a formal complaint

- a) The Director of Student Affairs (or designate) is responsible for receiving (in writing) formal complaints of sexual violence related to students. The Manager, Labour Relations (or designate) is responsible for receiving formal complaints related to all other groups. In the case where the Respondent is both a student and an employee, the complaint may be submitted to either of these two parties but will be jointly received. Only a person who reports experiencing sexual violence (the “Complainant”) can choose to file a formal complaint under this Policy.
- b) A formal complaint can be filed if the Respondent is a member of the University community and was a member of the University community at the time of the incidents alleged in the formal complaint.
- c) Jurisdictional or other legal considerations may arise (such as an active police investigation) where the formal complaint process in this Policy may be suspended. In addition, the University does not have jurisdiction to

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address allegations made against a person who is not a member of the University Community. However, in event of such allegations, the University will provide support to Complainants and may be able to take measures such as restricting access to campus by the person against whom the allegations are made.

- d) A formal complaint must set out in writing the name of the Respondent, the nature and the details of the circumstances, including detailed facts, specific dates and names of potential witnesses. The person receiving the formal complaint will acknowledge receipt, review it and if necessary, seek clarification from the Complainant on the information it contains.

9.2. Sexual Violence Review Committee (SVRC) Initial assessment

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

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9.3. Review of the initial assessment

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

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9.4. Investigation

- a) Where the complaint is within the definition of sexual violence as set out in this Policy, the Sexual Violence Review Committee will appoint an Investigator who has competence in conducting investigations related to allegations of sexual violence, to investigate the complaint.
- b) Where the Respondent is a unionized employee, the employee shall have all applicable rights to union representation during any investigatory meetings with the Employer. As per the relevant collective agreement, the Manager of Labour Relations will also inform the Manager/Supervisor of the Respondent of the investigation.
- c) The Manager of Labour Relations or the Director of Student Affairs will send a written notice to the Respondent and the Complainant informing both of the formal complaint and enclosing a copy of the complaint. The Respondent and Complainant will be informed of the name of the Investigator as soon as possible. The notice will indicate that the Respondent will have an opportunity to provide the Investigator with a written response to the complaint. Both the Complainant and the Respondent will be provided with a copy of the formal complaint process under this Policy.
- d) The investigation will be done in a timely fashion. The Investigator will ask the Respondent to respond in writing to the formal complaint. If the Respondent does not provide a written response within the time requested, the investigation will proceed in the absence of a response.
- e) The Investigator will then send the Respondent's response to the Complainant, who can submit a written reply within the time requested by the Investigator. If no written reply is provided within the time requested, the Investigator will proceed in the absence of such reply. The Respondent will receive a copy of the reply, if any.
- f) The Investigator will examine all of the information submitted by the parties as well as any other information gathered during the investigation and conduct all interviews in a fair, impartial and professional manner. The Investigator will remind the individuals of the requirement to protect and keep confidential the personal information of the persons involved in the investigation.

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- g) The Investigator will keep the Sexual Violence Review Committee informed on the status of the investigation at regular intervals or at the request of the Review Committee. The officers charged with receiving the complaint will keep the Complainant and the Respondent informed on the status of the complaint and of the investigation.

9.5. Investigation report

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

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9.6. Review of report and committee meeting

- a) After the report and responses are provided to the Sexual Violence Review Committee (SVRC), the Chair will convene meetings as appropriate. The notice will indicate the time, place and purpose of the meeting(s) as well as include a statement that if the Complainant or the Respondent does not attend or participate, the SVRC may proceed in their absence. The Complainant or the Respondent may request accommodation from the SVRC regarding their participation at a meeting.
- b) The Sexual Violence Review Committee meeting(s) will be conducted in person and in camera. However, the support person(s) referred to in paragraph 8.4 of this Policy can attend as an observer(s) only and may not speak on behalf of or represent the Complainant or the Respondent.
- c) The Complainant and the Respondent will be afforded the opportunity to make written and oral representations to the SVRC, including representations on the investigation report and on any potential consequences or measures. The Complainant and the Respondent are expected to speak for themselves. Members of the SVRC may ask questions of the Complainant and the Respondent and may invite witnesses as they deem necessary.

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- d) The SVRC will ensure that the Complainant and the Respondent are given an opportunity to know and respond to information that it intends to rely upon in making the decisions and recommendations.

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

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- a) Upon reviewing and considering the final investigation report and any representations made by the Complainant and the Respondent or other person at its meeting with them, the Sexual Violence Review Committee will:
- Decide whether the investigation was fair and conducted properly;
 - Decide whether the complaint is founded and the role of the Respondent;
 - Recommend consequences or measures it considers appropriate to remedy or mitigate any academic or employment harm or disadvantage arising from the complaint, to prevent its reoccurrence and to ensure the safety of all individuals.
- b) The decisions of the Sexual Violence Review Committee and the reasons in support of it must be in writing and be delivered to the Complainant and Respondent. The Freedom of Information and Protection of Privacy Act (FIPPA), prohibits the disclosure of the details of any disciplinary actions or consequences taken against the Respondent. The Complainant has a right to know the outcome of the investigation but not the details of the discipline unless sharing that information is permitted by FIPPA for health and safety reasons. In the case of a unionized employee, the decision of the SVRC will also be communicated to the appropriate Manager/Supervisor who will make a recommendation on any consequences, measures, and/or disciplinary action to the appropriate Vice-President. If the Committee decides that the complaint is founded and the Respondent involved was a unionized employee, the SVRC will also provide the appropriate Manager/Supervisor with a copy of the investigation report.
- c) Consequences or measures in response to sexual violence will depend on the circumstances, on the severity of the conduct, on any mitigating factors and on applicable collective agreements or other University policies. If a complaint of sexual violence is substantiated, consideration will be given to preventing its reoccurrence in the future, to correcting the negative impact of the incident on the Complainant and to ensuring or enhancing the safety of all individuals. The following list provides

examples of consequences and measures and is not meant to be exhaustive nor necessarily represent a progression of consequences or measures:

- A letter of apology;
- Attendance at educational sessions on the impact of sexual violence;
- Attendance at coaching sessions to improve communication or conflict resolution skills;
- Restricted or prohibited access to the University campus and/or services;
- For employees discipline up to and including termination;
- For students discipline up to and including suspension or ban from the University, and
- In circumstances where the Respondent is a unionized employee, the appropriate Manager/Supervisor under the applicable collective agreement will decide on consequences or measures and on the imposition of any disciplinary measures. Disciplinary processes and measures shall be in accordance with the collective agreement applicable to the Respondent employee.

10. Appeal Process

10.1 Appeal

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

- The appeal is of a final decision of the Sexual Violence Review Committee;
- The appeal is submitted by either the Complainant or the Respondent;
- The appeal must be made within 15 days after the date of the final decision that is the subject of the appeal;
- The appeal includes the reasons for the appeal, the reasons why the appeal should be granted, the arguments in support of the appeal and the outcome

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sought;

- e) The appeal must demonstrate that:
- There has been a fundamental procedural error in the making of the final decision and that such error has caused or will cause actual prejudice to the person seeking the appeal, or
 - There are new facts relevant to the final decision that were not available and could not have been provided to the Sexual Violence Review Committee.

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

- The appeal asks for review of a consequence or measure that has not yet been finally decided or approved;
- The appeal repeats arguments made at the meeting of the review committee or in written submissions and does not provide any new information relevant to the final decision;
- The appeal is based only on a disagreement with a finding of fact, including findings made about the credibility of witnesses;
- The appeal raises new arguments that were not made, but could have been made at the Sexual Violence Review Committee meeting or in written submissions or to the appropriate Manager/Supervisor or University governing body, and
- The appeal amounts to a mere speculation or a bald statement of a procedural error causing prejudice and does not provide detailed and convincing information to establish the error and to establish a link between the error and actual prejudice or a reasonable expectation of prejudice to the person seeking the appeal.

10.2

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

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10.3

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

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10.4

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

11. Review of Policy

11.1 Review

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

11.2 Amendments

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

12. Related Policies and Procedures

12.1 Related policies include:

- a) Carleton Human Rights Policies and Procedures
- b) Carleton Student Rights and Responsibilities Policy

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- c) [Workplace Harassment Prevention Policy](#)
- d) [Carleton Workplace Violence Prevention Policy](#)
- e) Residence Contract

In the case of a conflict between any of the above policies and the Sexual Violence Policy, the latter takes precedence to the extent of the conflict.

Report on Sexual Violence Policy Review Feedback

Consultation Meetings, Design-Thinking Workshops, Online Feedback

Date: January 30, 2019

Overview

The following report is a summary of the feedback received on Carleton's Sexual Violence Policy throughout the listening phase of the consultation work plan.

Consultation Meetings

Throughout the listening phase of the consultation process, Bailey Reid (Sexual Assault Services Coordinator, Equity Services) and Laura Storey (Director, Housing and Residence Life, Office of the Vice-President (Students and Enrolment) (OVPSE)) met with key stakeholder groups on campus. Consultation meetings occurred with:

- Carleton University Students' Association (CUSA)
- Graduate Students' Association (GSA)
- Carleton Academic Student Government (CASG)
- Rideau River Residence Association (RRRA)
- OurTurn
- CUASA
- CUPE 910
- CUPE 2424
- CUPE 3778
- CUPE 4600
- OPSEU 404

Design-Thinking Workshops

A total of 13 design-thinking workshops took place for members of the Carleton community, which were a combination of open sessions for the general population as well as closed sessions for groups who traditionally experience oppression and marginalization. In total, 22 people participated in these workshops.

In order to provide insight into how the feedback from the design-thinking workshops was obtained, we have included the agenda for these workshops as an appendix.

Online Feedback

During the listening phase, there were 14 anonymous form submissions, 4 emailed responses and 1 editorial from the Charlantan. This online feedback is presented as submitted.

Main Themes

Throughout the listening phase of the consultation process, several main themes emerged:

- Policy Administration
 - Accommodation process
 - Composition of the Sexual Violence Review Committee
 - Immunity clause for drug and alcohol use
 - Off campus and non-Carleton community member processes
 - Accessibility of the Policy
 - Question of false claims and due process, including restorative or educational options
- Response
 - Communication around timelines including the appeal time limit
 - Faculty-student relationships
 - Confidentiality constraints, including speaking publicly about the experience
 - Face-to-face meetings
 - Fear of reprisal
- Education and Continuous Improvement
 - Role of the Sexual Violence Prevention and Education Committee
 - Support services offered

This report has been organized by these themes and has the aggregated feedback of the listening phase as well as the submitted feedback received online. This feedback has been examined and assessed in the review of the Sexual Violence Policy. Responses to the feedback received have also been included.

Policy Administration

Accommodation process

The following feedback was received regarding accommodations offered through the Sexual Violence Policy:

- Consider the Graduate Student experience specifically, including:
 - Milestones and timelines for the graduate level
 - Withdrawals/funding
 - Ensure language includes research assistants, contract instructors, and teaching assistants
- Clarify that a respondent does not need to sign a “no contact order” for it to be in effect
- Clarify what interim measures are available
- Clarify what a faculty member’s role is if both the complainant and respondent are students and are in a room together; and be clear on the liability that the faculty member has if there is further harm done
- Power structures need to be addressed within the policy, particularly around discipline or sanctions
- Clarify in the policy the language and roles that a support person or mediator has. As well, clarify if the complainant or respondent bring a support person, and that support person is also a triggering person to the other party, what happens?
- Stronger language for the prohibition on retaliation

University Response

As is already stated in the policy under section 6.5(a), interim academic or employment accommodations are available and depend on the person’s needs and the circumstances. Each accommodation is provided in a specialized way to the person, whether they be an undergraduate student, graduate student, staff member, or faculty member and that are appropriate in the specific circumstances. In the revised draft of the policy, additional language has been added to section 8.12 regarding interim measures. The additional language adds further clarity to interim measures, including examples, the related process for the review of any such measures and addresses potential non-compliance with measures.

Updates have been made to section 8.4 of the revised draft of the policy to clarify whom a support person may be and clarifies that a support person may not be a witness in the complaint process.

A new Alternative Resolution provision has been added as section 8.10 of the revised draft of the policy, which clarifies the process, roles, that the parties must engage voluntarily in any alternative resolution and remain free from reprisal.

The Sexual Violence Prevention and Education Committee (SVPEC) will look at enhancing the communication of various support services and accommodations, which are available relating to sexual violence.

The Sexual Violence Policy currently includes wording in section 9.5 that specifically addresses reprisal, which is a serious offence. Reprisal would be the subject of disciplinary action and would be considered a significant aggravating factor.

Every member of Carleton's community is responsible for preventing sexual violence by challenging misogyny and rape culture. Under the Sexual Violence Policy, when a member of the university community receives a disclosure of sexual violence, the person to whom it is disclosed is to ensure that the person who has disclosed sexual violence is referred to the Sexual Assault Services Coordinator at the Department of Equity Services.

Composition of the Sexual Violence Review Committee

The composition of the Sexual Violence Review Committee (SVRC) was flagged as a potential barrier in feedback. We heard the following concerns about who sits on the committee:

- Concerns with the Chair:
 - What qualifications allows that person to chair?
 - Concerns around this position in the university's interests being related to preventing sexual violence vs. protecting the reputation of the university
- Concerns about the Director of Equity Services and the Director of Safety being on the committee for perceived bias
- Equity Services, Campus Safety Services, Health and Counselling, and someone from Human Resources should all have a place on the committee
- It was suggested that the Director of Equity Services chair the committee
- Bring in an outside agency who are impartial and experts in subject area to review and later implement policy, not upper management who could have a perceived bias by a complainant or respondent
- What happens if someone in the Equity Services Office or the SVRC is accused of sexual violence?
- What happens if there is a conflict of interest with the SVRC?
 - Is there an opportunity to replace someone on the committee with someone else?
 - How are the members of the committee chosen?
 - Can there be a panel of people to choose from?

In addition, the following feedback was suggested to remedy the concerns:

- Can there be a role for advocates? What about the role of the support person?
- Include more people who have experience with this, or more expert voices on the committee

- Could a lawyer, with a background in activism, be involved in this review process?
- The review committee should consist of at least one student representative (can be a peer supporter since they are already bound by confidentiality commitments) and should have more representation of groups that traditionally experience oppression
- There was a request for how decisions are made by the committee: i.e. when making a decision, does everyone have to agree unanimously? Or is it 50%+1?
- Address the disconnect between the community and administration, particularly when it comes to accountability and transparency with the process

University Response

The university is committed to a process that provides procedural fairness for all parties to a complaint. This has been explained in detail in the revised draft of the policy in section 8.11. The process includes an impartial and fair investigation conducted by a trained investigator. The process also ensures that apart from non-disciplinary interim measures, disciplinary action is taken only where appropriate and at the conclusion of the process. Further, each party involved in a complaint may appeal if there was a procedural error or new relevant facts uncovered.

All members of the Sexual Violence Review Committee receive sexual violence and procedural fairness training as stated in section 6.5(c) of the current policy.

In the revised draft of the policy, section 8.8 has been added to include a conflict of interest provision and requiring any official in conflict to withdraw from the process.

As supported by Equity Services, the Director of Equity Services will no longer sit on the Sexual Violence Review Committee in the revised draft of the policy (as noted in section 6.5(c)). This revision is supported by Equity Services and allows the Sexual Assault Support Centre, housed within Equity Services, to act as an independent body focused solely on support and removes the potential for a conflict of interest. This also reinforces the role the SVRC has in the formal process, which is intended to be a neutral process and does not provide a support role to either the complainant or respondent.

However, as is stated in section 6.5(e), the Sexual Violence Review Committee can, on a confidential basis, consult or seek the assistance of other internal authorities, such as Equity Services, Health and Counselling Services, or Human Resources, as appropriate.

Additionally, the Sexual Assault Services Coordinator and the Director of Equity Services will remain involved with the Sexual Violence Prevention and Education

Committee in order to continue the mandate to prevent sexual violence on campus and offer education and training to all members of the community.

Immunity clause for drug and alcohol use

We received feedback that an “immunity clause” would ensure that anyone who had committed minor infractions related to drugs or alcohol would be protected under this clause in reporting sexual violence, and therefore would lessen barriers to reporting.

There were also requests to consider how the complainants are interviewed throughout the process, and receive protection from questions like, “What were you wearing” or, “What is your sexual history?”

University Response

In the revised draft of the policy, section 8.9 has been added providing immunity for minor drug and alcohol offences. Specifically, a complainant acting in good faith who discloses or reports sexual violence will not be subject to actions for violations of university policies related to drug and alcohol use at the time the sexual violence took place.

The Sexual Violence Policy requires investigations to be conducted by trained investigators with expertise in investigations of allegations of sexual violence. The investigators ensure that all investigations are conducted in an appropriate and sensitive manner.

Off campus and non-Carleton community member processes

Feedback was received to include visitors and alumni in the policy. Additional feedback included:

- Clarify in the policy who is defined as a community member. Some suggestions include:
 - Adjunct faculty
 - Alumni
 - Visitors such as campus guests
 - Visiting speakers
- Define how Carleton handles sexual violence that is both experienced and committed by visitors to the campus.
- Clarify that the policy includes co-op and practicum placements in the policy.

University Response

The Sexual Violence Policy currently defines “University community” in section 4.1:

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

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

As stated in the above definition, the policy applies to all individuals who have a relationship with the university.

In the revised draft of the policy, section 9.1(c) has been updated to address concerns about how a formal complaint is handled against a person who is not a member of the university community such as a visitor.

The Sexual Violence Policy already applies to off-campus events through sections 3.1 and 4.1. Additionally, there are other policies and processes that address visitors to the campus.

Accessibility of the Policy

Related to the clarity of the policy in general, we received feedback specifically on how to make the policy more accessible to readers. The suggestions we received to address this were:

- Include an executive summary
- Have different ways that the policy could be consumed (i.e. infographic, flowchart, one page summary etc.) on Equity website
- Clear process page that just lists the step-by-step procedures for a formal complaint
- Outline informal or restorative approaches, as well as options for an informal process (healing circles, mediation, etc.)
- Include a table of contents
- A clear definition of a formal report (versus informal report)
- Use CNIB-approved font

University Response

It is not considered best practice to include an executive summary within a policy. However, the university will develop a flowchart to explain the policy, processes and options for both formal and informal complaints. This will be promoted across the campus and on appropriate websites.

In terms of offering more restorative approaches, the university has added section 8.10 in the revised draft of the policy, which addresses an Alternative Resolution to the process in order to increase the options available to parties under the policy for informal resolution. Alternative Resolution can include restorative justice approaches, mediation/facilitation, education or other similar methods as noted above.

Prior to the publication of the Sexual Violence Policy, a table of contents will be added.

The policy defines the difference between formal reports and disclosure.

The revised draft of the policy has been updated to use CNIB-approved font (12pt, Arial).

A review of due process including question of false claims and restorative or educational options

The design-thinking workshops had participants create a "[Value Proposition Canvas](#)," in which they acted as three "users" of the Sexual Violence Policy: the complainant, the respondent, and the university. The results from this activity are the following:

For complainants, the participants clearly identified that the policy must be survivor centric, receptive to the individual experience, and be clear about the agency or choice the complainant has in the process. These values were in many ways echoed for the respondent as the user of the policy. For respondents, the participants identified a need for a clear explanation of the process, a respectful process, one that is confidential, and also expresses the reasons for consequences or sanctions with clarity.

Building on this Value Proposition Canvas, one suggestion was to include a statement of ethics or something similar at the beginning of the policy. From the activity in the workshop, the following values for the policy were identified as critical:

- Supportive
- Respectful
- Timely
- Clear
- Sensitive
- Fair
- Thoughtful

Participants in the design-thinking workshops were also asked, “How can we balance ‘due process’ for survivors and respondents?” This is what they suggested:

- Survivor is taken to be truthful until proven otherwise
- Respondent is taken to be innocent until proven guilty
- Option for informal (conflict resolution, community based, etc.) resolution (before policy process)
- Transparency of process
- Neutral third party investigation

Ultimately, what we heard from this feedback process was that both complainants and respondents are seeking timely process which respect each individual and can provide a clear explanation of what is happening, and why.

Finally, we also received feedback on a need within the policy for an informal process that was based on restorative justice principles. It was suggested that such a process allows for survivors to feel that there has been accountability for the respondent, but aims to educate, rather than punish, those who are responsible for causing harm.

University Response

The university is committed to a process that provides procedural fairness for all parties to a complaint. This has been explained in detail in the revised draft of the policy in section 8.11. The process includes an impartial and fair investigation conducted by a trained investigator. The process also ensures that apart from non-disciplinary interim measures, disciplinary action is taken only where appropriate and

at the conclusion of the process. Further, each party involved in a complaint may appeal if there was a procedural error or new relevant facts uncovered.

Statistically speaking, complaints brought forward in bad faith are rare; Carleton engages and relies on trained investigators who are capable of identifying false claims if the situation arises.

The university has also committed to finding out from complainants and respondents how they would like to receive correspondence from the SVRC throughout a formal process, including how often and when they need to hear updates. This is intended to increase the sense of transparency and communication about the process, and also responds to each parties' unique needs in the case. This has been clarified in section 8.6 of the revised draft of the policy in which the parties will receive regular updates on the progress of their case.

In section 2.1 of the Sexual Violence Policy, the university's commitment and values are listed in order to further emphasize the needs identified in the Value Proposition Canvas.

In terms of offering more restorative approaches, the university has added section 8.10 in the revised draft of the policy, which addresses an Alternative Resolution to the process in order to increase the options available to parties under the policy for informal resolution. Alternative Resolution can include restorative justice approaches.

Response

Communication around timelines including the appeal time limit

- There was a significant request for setting timelines within the policy.
- It was recommended that the investigation be given a timeline with the clause that if it appears the investigation will take longer than that, the committee commits to updating the complainants and respondents.
- Alternatively, if a timeline cannot be set in the policy, the SVRC should be held to providing communication and updates to the complainants and respondents at set intervals to maintain continuing communication.
- We received feedback that the appeal process in the policy seemed too vague, and that the time limit for an appeal was too short.

University Response

The university has committed to finding out from complainants and respondents how they would like to receive correspondence from the SVRC throughout a formal process, including how often and when they need to receive updates. This is intended

to increase the sense of transparency and communication about the process, and also responds to each parties' unique needs in the case. This has been clarified in section 8.6 of the revised draft of the policy in which the parties will receive regular updates on the progress of their case. In addition, the policy has been revised in section 8.6 to further clarify that each step in the complaint process is to be completed as expeditiously as possible.

In the revised draft of the policy, the appeal time limit has been extended to 30 days in section 10.1(c).

Faculty-student relationships

There were concerns raised about faculty student relationships and that this should be addressed in the policy.

University Response

Carleton's existing policies strongly discourage faculty-student relationships and relationships between supervisors and employees. Although such relationships are not banned, the relationships are strongly discouraged in the existing sexual harassment provisions of Carleton's Human Rights Policies and Procedure and through the existing definition of consent in the Sexual Violence Policy. To address the feedback, section 2.2 of the revised draft of the policy has been added regarding consensual romantic or sexual relationships between individuals in positions of authority and students or employees. This section is based on current and existing policies in Carleton's Human Rights Policies and Procedure and reinforces and reminds the university community of the existing disclosure requirements. As is stated in section 2.2 of the revised draft of the policy, and as required by existing policy, any relationships with a power imbalance must be disclosed in a timely manner and appropriate steps taken.

Confidentiality constraints, including speaking publicly about the experience

One of the most common requests we heard for clarification in the policy was around confidentiality and regulations for privacy as set out by FIPPA. The confidentiality questions in the policy have two major themes: One, can the complainant know the consequences or measures that are given to the respondent, and secondly, can complainants in the policy speak out about their experience?

- The majority of feedback requested that a complainant is made aware of the measures taken by the committee to hold the complainant accountable. There was also a request that if a person is expelled for sexual violence, that should go on their permanent record.

- There was also a sense that both the complainants and respondents need to have a better sense of what “confidentiality” means in the policy- though they may only disclose to one person, the nature of the process is such that more people know than just who they disclose to.
- Many feel that speaking about the experience of sexual violence is one way that complainants can heal. However, they felt that the policy does not allow for this. There was a recommendation that survivors be allowed to speak of their experience, however they cannot disclose the name of the person who caused harm.
- Consider in Section 7.1, clarifying that “confidentiality” means that reports of workplace violence needs to be sent along to the Joint Health and Safety Committee, which is only for formal complaints, and would not include names.

University Response

While we recognize that some survivors may wish to speak out about their experience as part of a therapeutic process, an important aspect of procedural fairness and an impartial formal investigation is confidentiality during the process. We have reviewed the confidentiality section to ensure that we are not creating a policy that violates the rights of any parties, exposes complainants to possible cases of defamation, and appropriately balances the confidentiality requirements and complies with legal obligations (such as the *Freedom of Information and Protection of Privacy Act*). Sections 7 and 8.5 of the Sexual Violence Policy describe and clarify the scope of confidentiality and also allow for any additional specific questions related to confidentiality that can be addressed throughout the process.

Face-to-face meetings

- Some feedback was received that the complainant and the respondent should never be forced to meet face-to-face
- It was also suggested that the term “mediation” needs to be defined or explained more clearly

University Response

In the revised draft of the policy, language has been added in section 9.6 whereby the complainant or respondent may request accommodation regarding their participation at a meeting.

Mediation is addressed in the new Alternative Resolution section. At the time that a party wishes to enter into an Alternative Resolution process, the options will be explained to them.

Fear of reprisal

- Stronger language for the prohibition on retaliation especially when employees make a report about a superior

University Response

The Sexual Violence Policy already includes wording in section 9.5 that specifically addresses reprisal, which is a serious offence. Reprisal would be the subject of disciplinary action.

Education and Continuous Improvement

Role of the Sexual Violence Prevention and Education Committee

The Sexual Violence Prevention and Education Committee is a commitment from the Policy, and we received feedback on how to make that committee stronger. The feedback received included:

- Reinforce educational outreach to the campus
- Some of the commitments of the policy seem to be vague:
 - There is a commitment to education from the policy, however, who is giving the information and to whom?
- What are the guaranteed resources to this committee?
- Clarify how often do staff, faculty and TAs get training, and if it is mandatory
- Can this committee be responsible for measuring the operational success of the policy?

University Response

The Sexual Violence Prevention and Education Committee (SVPEC) will be tasked with developing the Campus Sexual Violence Prevention Strategy, which will be their work plan. Many of the feedback items identified in this report will be used in the strategy including educational outreach. The SVPEC continues to be committed to providing sexual violence training and information to members of the university community. Additionally, in the revised draft of the policy under section 5.2(c), the

SVPEC has been tasked with making recommendations on the policy for consideration during the review process every three years.

Support services offered

We received the following feedback:

- Mention of union support as a possible support (in sections 8.1 and 6.5)
- Be more intersectional, by including a statement at the beginning addressing that certain groups who disproportionately experience systemic oppression are more likely to experience sexual assault
- Clarify under what circumstances the university would continue with a formal request if a survivor pulled out of the process, and if a survivor can decide to back out of formal to informal processes
- Additionally, there was questions about at which point the university may have to act on their legal obligations, and what role (if any) the survivor needs to have in that process if they did not choose to report formally.
- Include online acts in this policy (revenge porn, etc.)
- Workplace sexual harassment needs to be included in a more specific and detailed way
- When the investigation process occurs, the complainant needs to know more about the process in order to address fear as a barrier for reporting

Further, requests were also made for the policy to be clear on how it interacts with other policies on campus, including the Free Speech Policy (and its relation to hate speech), and the Human Rights Policy.

University Response

In the current policy, section 1.1 includes the following statement: “Carleton acknowledges that individuals who are members of equity-seeking groups who experience intersecting forms of disadvantage based on the protected grounds in the Ontario Human Rights Code may be disproportionately affected by sexual violence and its consequences.”

In the revised draft of the policy, under section 8.4, clarification has been made that a support person may include an employee union representative.

Section 8.2 of the current policy provides information regarding when the university would continue with an investigation pursuant to its legal obligations after the complainant withdraws from the process. The complainant has the right not to participate in such an investigation. In addition, the policy currently provides that a complainant may withdraw a complaint at any time.

The policy applies to online activity. Section 3.1 of the current policy includes language relating to online activities through social or other electronic media.

Sexual harassment and workplace sexual harassment are defined in section 4.1 of the current policy.

A flowchart regarding the formal complaints process will be developed by the university. Websites will be updated to ensure they provide clear and appropriate information on the process.

Policies that are related to the Sexual Violence Policy are noted in section 12. The Freedom of Speech policy is a framework policy that informs the interpretation of and is reflected in other university policies.

Additional Policy Feedback

In order to dig further into the process itself, participants were asked in the workshops to answer the following questions:

- What barriers do you perceive to reporting sexual violence through the policy?
- What does a “survivor-centric” approach mean to you?
- How do we challenge rape culture on campus?
- How can we balance “due process” for respondents and survivors?
- What is the most critical quality to you for the sexual violence policy to have?

Below, we detail what was suggested that would help to further clarify the process itself.

“Perceived barriers to reporting sexual violence through the policy:”

Key highlights:

- Accessibility (it is not easily readable)
- Unclear on understanding of what happens when there is a formal process
- Composition of the SVRC is intimidating and biased
- Document itself is hard to understand
- Currently no immunity clause
- Lack of trauma-informed approaches
- SVRC has all the power and the chair is in a conflict of interest

“What does a ‘survivor-centric’ approach mean to you?”

Key Highlights:

- Burden of labour isn’t on the complainant
- Empathy at all stages of the process

- Considered truthful until proven otherwise
- Survivor can have an advocate who is allowed to speak
- Ability to withdraw or file complaint at any time
- Policy nor healing is a linear process
- Survivor controls how they move through the process

“What is the most critical quality to you for the sexual violence policy to have?”

Key Highlights:

- Immunity/amnesty clause
- Survivor-centric language and practices
- Enshrining and protecting the values of consent culture (survivor consents to policy)
- Protecting the “lower rung” staff, faculty and students

University Response

Responses to address this feedback are included in the comments found above. Carleton University is committed to having a survivor-centric policy while ensuring procedural fairness. The university thanks the Carleton community for this feedback as we make draft revisions to the Sexual Violence Policy.

Online Feedback

The following feedback was received through email and the anonymous feedback online form.

Date	Format	Content	Response
12-Sep-18	Form	I remember when I stayed there on residence and the RA. Came into a room where there was drinking and dancing, she got into one guy's face aggressively and he kind of brushed it off by continuing to dance until she got annoyed and left .. turned out she wrote a complaint that it was some sort of sex dance and all of a sudden he's kicked out of residence and banned and with all the rumors surrounding it was labeled some form of sexual deviant... I would hope you instil some form of protection from false claims of sexual whatever... Because that is such a travesty you should be ashamed for that.	<p>This was brought forward from the Process Consultation phase.</p> <p>The university is committed to a process that provides procedural fairness for all parties to a complaint. This has been explained in detail in the revised draft of the policy in section 8.11. The process includes an impartial and fair investigation conducted by a trained investigator. The process also ensures that apart from non-disciplinary interim measures, disciplinary action is taken only where appropriate and at the conclusion of the process. Further, each party involved in a complaint may appeal if there was a procedural error or new relevant facts uncovered.</p> <p>Statistically speaking, complaints brought forward in bad faith are rare; Carleton engages and relies on trained investigators who are capable of identifying false claims if the situation arises.</p>
13-Sep-18	Form	the appeal time limit should be extended.	<p>This was brought forward from the Process Consultation phase.</p> <p>In the revised draft of the policy, the appeal time limit has been extended to 30 days in section 10.1(c).</p>
13-Sep-18	Form	Under law, all individuals are deemed innocent until prove guilty. I hope this will be enforced by Carleton as well. If there is such an public accusation, please	This was brought forward from the Process Consultation phase.

		<p>make sure the identity of the accused is protected until proven guilty by court.</p>	<p>The university is committed to a process that provides procedural fairness for all parties to a complaint. This has been explained in detail in the revised draft of the policy in section 8.11. The process includes an impartial and fair investigation conducted by a trained investigator. The process also ensures that apart from non-disciplinary interim measures, disciplinary action is taken only where appropriate and at the conclusion of the process. Further, each party involved in a complaint may appeal if there was a procedural error or new relevant facts uncovered.</p> <p>Statistically speaking, complaints brought forward in bad faith are rare; Carleton engages and relies on trained investigators who are capable of identifying false claims if the situation arises.</p> <p>In addition, the complaint process is subject to confidentiality as described in sections 7 and 8.5 of the policy and required by law.</p>
13-Sep-18	Form	<p>Please change the term survivor to only those who went through life critical situations. Such examples could be attempted murder after rape. Rape victims are victims, not survivors.</p>	<p>This was brought forward from the Process Consultation phase.</p> <p>The term "survivor" is used appropriately in the policy and is a defined term.</p>
13-Sep-18	Form	<p>The most serious of the many flaws in the Sexual Violence Policy is its failure to protect the charter right of the accused to the presumption of innocence. This is particularly apparent in the the explicit policy of Equity Services unconditionally to believe all accusers (the "We Believe You" poster), thus prejudicing the process against the accused.</p>	<p>This was brought forward from the Process Consultation phase.</p> <p>The university is committed to a process that provides procedural fairness for all parties to a complaint. This has been explained in detail in the revised draft of the policy in section 8.11. The</p>

		<p>Section 11 of the Charter guarantees every person certain rights when are charged with a criminal offence. Section 11 applies to all types of offences (criminal, quasi-criminal, and regulatory offences). Note especially Section 11(d): the right to be presumed innocent until proven guilty in a court of law. The Supreme Court of Canada has referred to this constitutional right as “the golden thread” that runs through the criminal law. The burden is always on the prosecution to prove a criminal case. The presumption of innocence acts as a shield to protect an accused where the evidence falls short of proof beyond a reasonable doubt. Section 11(d) entrenches the long standing common law principle that no person can be convicted if there exists a reasonable doubt that he committed the offence. It is because of s. 11(d) that the court is constitutionally required to prove every element of the offence beyond a reasonable doubt and also to disprove the validity of any defence beyond a reasonable doubt. The Supreme Court has ruled that it would contravene s. 11(d) if the defence was required to disprove an element of the offence or to prove the existence of a defence. Thus, at minimum, the defence must show that the case, as presented by the prosecution, leaves a reasonable doubt as to whether the defendant is guilty.</p>	<p>process includes an impartial and fair investigation conducted by a trained investigator. The process also ensures that apart from non-disciplinary interim measures, disciplinary action is taken only where appropriate and at the conclusion of the process. Further, each party involved in a complaint may appeal if there was a procedural error or new relevant facts uncovered.</p> <p>Statistically speaking, complaints brought forward in bad faith are rare; Carleton engages and relies on trained investigators who are capable of identifying false claims if the situation arises.</p> <p>In addition, the complaint process is subject to confidentiality as described in sections 7 and 8.5 of the policy and required by law.</p>
10-Oct-18	Email	<p>Hello, I would be interested in participating in a workshop.</p> <p>When is the Closed Graduate Students workshop offered? Alternatively, is there an estimated date for further details on the session specifically for TAs?</p>	<p>Person has been contacted.</p>

		Thank you. I look forward to attending,	
		<p>My name is [redacted] any I have received several emails from you; I do not usually provide feedback, but I am willing to make an exception due to the important nature of this topic that is very close to my heart.</p> <p>I believe we need to focus our efforts in fighting sexual harassment/sexual violence on the online frontier. It is no secret to anybody that an unacceptably large amount of such harassment occurs on the internet, but the question of the hour is how to stop it. My suggestion here is to change what our school representatives post online; if our school community sees that it is acceptable for prominent CUSA members to post pro-sexual assault comments (among others, but let's focus on sexual assault for now, and not their general terrible online history), then it will be set in precedent that the school does not care.</p> <p>That's right; as it stands, Carleton does not care whatsoever about what is posted online by its own representatives, so how can the school care about what non-school employed students post?</p> <p>If you truly are serious about fighting sexual assault on campus, hold those who support these toxic ideas on the internet accountable to their actions, stop paying them a school salary, and make people accountable for what they say.</p>	<p>The Sexual Violence Policy applies to online activity. Section 3.1 of the current policy includes language relating to online activities through social or other electronic media.</p>
10-Oct-18	Email	Of course, I know this advice will not be followed. A	

		<p>crocodile-tear apology was issued by the perpetrators (before posting more toxic material almost immediately after, but I digress) and the school is more than happy to ignore the situation. But if you are not willing to see the obvious, please save us both some time and stop contacting me with updates to a situation that you are fundamentally unable and unwilling to fix. Feel free to contact me if you are serious about fixing this issue; as I mentioned, this issue is very close to me and I genuinely want to see the Carleton community improved.</p> <p>Good day,</p>	
10-Oct-18	Email	<p>Hello,</p> <p>After reading through the Sexual Violence Policy draft I was wondering the steps that would be taken to ensure that the investigation is fair. To the best of my knowledge, a lot of universities have a guilty until proven innocent approach when it comes to sexual violence accusations. Would this be any different? If so, how?</p> <p>Also, I couldn't find anything that details the consequences to the Complainant if the sexual assault accusation is found to be false and filled with malicious intent.</p> <p>On the other hand, the policy seems to be very detailed. I'm very glad that Carleton is putting in the effort to create a really comprehensive and fair sexual violence policy.</p>	<p>The university is committed to a process that provides procedural fairness for all parties to a complaint. This has been explained in detail in the revised draft of the policy in section 8.11. The process includes an impartial and fair investigation conducted by a trained investigator. The process also ensures that apart from non-disciplinary interim measures, disciplinary action is taken only where appropriate and at the conclusion of the process. Further, each party involved in a complaint may appeal if there was a procedural error or new relevant facts uncovered.</p> <p>Statistically speaking, complaints brought forward in bad faith are rare; Carleton engages and relies on trained investigators who are capable of identifying false claims if the situation arises.</p>

		Looking forward to hearing from you!	In addition, the complaint process is subject to confidentiality as described in sections 7 and 8.5 of the policy and required by law.
		Thanks	
10-Oct-18	Form	<p>It might be helpful to outline what services are available to those who experienced sexual violence before entering the university but now require accommodations or advice from the university's system. There is no clause stating otherwise, but it might be better to say so explicitly.</p>	<p>The support services are provided by Carleton University unconditionally. There is no requirement to file a complaint or for sexual violence to have occurred at Carleton in order to receive support services. The Sexual Violence Policy allows support for those who have experienced sexual violence prior to joining our community through both workplace and academic accommodations. The Sexual Violence Prevention and Education Committee (SVPEC) will look at enhancing the communication of various support services and accommodations, which are available relating to sexual violence.</p>
11-Oct-18	Email	<p>There should be a special identity protection mechanism for those employees who make a report about a superior.</p> <p>This is a very special circumstance and simple policies surrounding this type of reporting, which may include a no reprisal clause, is simply not sufficient.</p> <p>Once the reporter has been exposed, the end result will not be good for the subordinate who has made the report.</p> <p>Regards</p>	<p>Carleton is committed to an environment that is safe for those reporting sexual violence to come forward.</p> <p>The Sexual Violence Policy already includes wording in section 9.5 that specifically addresses reprisal, which is a serious offence. Reprisal would be the subject of disciplinary action.</p>
11-Oct-18	Form	<p>What the policy is missing is that it does not address the "elephant in the room" - relationships between students and faculty or staff. Due to power imbalance, there should be provisions in the policy that state relationships with students are not permitted when staff or faculty are in a teaching or supervising relationship with a student. Relationships were there is</p>	<p>Carleton's existing policies strongly discourage faculty-student as well as relationships between supervisors and employees. Although such relationships are not banned, the relationships are strongly discouraged in the existing sexual harassment provisions of Carleton's Human Rights Policies and Procedure and through the existing</p>

		<p>a supervision aspect or power imbalance present are not permitted in other contexts or professions. There is no reason why universities should be different and addressing it in the policy would help to protect students and prevent situations like what has happened at UBC and university of manitoba.</p>	<p>definition of consent in the Sexual Violence Policy. To address the feedback, section 2.2 of the revised draft of the policy has been added regarding consensual romantic or sexual relationships between individuals in positions of authority and students or employees. This section is based on current and existing policies in Carleton's Human Rights Policies and Procedure and reinforces and reminds the University community of the existing disclosure requirements. As is stated in section 2.2 in the revised draft of the policy, and as required by existing policy, any relationships with a power imbalance must be disclosed in a timely manner and appropriate steps taken.</p>
11-Oct-18	Form	<p>To ensure fairness, there needs to be a total barrier between support services and the complaint process. The Director of equity should be removed from the committee and it be clear that in take for complaints is to be done by people who are not at all involved supporting survivors.</p>	<p>As supported by Equity Services, the Director of Equity Services will no longer sit on the Sexual Violence Review Committee in the revised draft of the policy (as noted in section 6.5(c)). This revision is supported by Equity Services and allows the Sexual Assault Support Centre, housed within Equity Services, to act as an independent body focused solely on support and removes the potential for the conflict of interest. This also reinforces the role the SVRC has in the formal process, which is intended to be a neutral process and does not provide a support role to either the complainant or respondent.</p> <p>However, as is stated in section 6.5(e), the Sexual Violence Review Committee can, on a confidential basis, consult or seek the assistance of other internal authorities, such as Equity Services, Health and Counselling Services, or Human Resources, as appropriate.</p>

			<p>Additionally, the Sexual Assault Services Coordinator and the Director of Equity Services will remain involved with the Sexual Violence Prevention and Education Committee in order to continue the mandate to prevent sexual violence on campus and offer education and training to all members of the community.</p>
11-Oct-18	Form	<p>I would like to see somewhere stated in policy, that professor - student/staff sexual relationship is prohibited.</p>	<p>Carleton's existing policies strongly discourage faculty-student as well as relationships between supervisors and employees. Although such relationships are not banned, the relationships are strongly discouraged in the existing sexual harassment provisions of Carleton's Human Rights Policies and Procedure and through the existing definition of consent in the Sexual Violence Policy. To address the feedback, section 2.2 of the revised draft of the policy has been added regarding consensual romantic or sexual relationships between individuals in positions of authority and students or employees. This section is based on current and existing policies in Carleton's Human Rights Policies and Procedure and reinforces and reminds the University community of the existing disclosure requirements. As is stated in section 2.2 in the revised draft of the policy, and as required by existing policy, any relationships with a power imbalance must be disclosed in a timely manner and appropriate steps taken.</p>
17-Oct-18	Form	<p>Carleton University needs to capitalize on this moment in time and set new standards for behavior by emulating the new policy at Laval University which prohibits faculty-student relationships.</p>	<p>Carleton's existing policies strongly discourage faculty-student as well as relationships between supervisors and employees. Although such relationships are not banned, the relationships are</p>

		<p>https://globalnews.ca/news/4546440/laval-university-bans-teacher-student-relationships/</p> <p>Any updated policy that Carleton approves must ensure from a legal perspective that procedural fairness is built into the policy. If there is no strong provision for procedural fairness, the policy is a failure and the university will be vulnerable to legal challenges and liabilities.</p> <p>We're coming up to 2019 - faculty/student relationships should be prohibited.</p> <p>Victims of assault and alleged perpetrators are both entitled to procedural fairness under a revised Sexual Violence policy.</p>	<p>strongly discouraged in the existing sexual harassment provisions of Carleton's Human Rights Policies and Procedure and through the existing definition of consent in the Sexual Violence Policy. To address the feedback, section 2.2 of the revised draft of the policy has been added regarding consensual romantic or sexual relationships between individuals in positions of authority and students or employees. This section is based on current and existing policies in Carleton's Human Rights Policies and Procedure and reinforces and reminds the University community of the existing disclosure requirements. As is stated in section 2.2 in the revised draft of the policy, and as required by existing policy, any relationships with a power imbalance must be disclosed in a timely manner and appropriate steps taken.</p>
17-Oct-18	Form	<p>"Host design-thinking workshops for students, faculty (including contract instructors, sessional lecturers, teaching assistants, etc.), staff (including academic and administrative staff), and senior administration. Each event is structured with a facilitator to lead the groups through activities where they work towards the co-creation of key policy changes. " I'm going to suggest you hold a men-only one as well, as anxieties of male victims are being ignored. More perspectives from men need to be heard when creating this kind of policy, and a closed session for men ensures that men will be able to give their honest feedback and concerns, which are important and valuable.</p>	<p>Based on this feedback, a design-thinking workshop for male-identified community members was held on November 27, 2018.</p>
22-Oct-18	Form	<p>I was surprised to see that as an employee, if I report that I am assaulted or raped by another staff member on campus, the information goes to a committee of</p>	<p>In the revised draft of the policy, section 8.8 has been added to include a conflict of interest provision</p>

		<p>upper management - some of whom I report to. This is so inappropriate that I can hardly believe this is part of the process. I can honestly say that if I was a sexual assault survivor, I would not report it on campus and would go to the police instead. I would not want upper management knowing my personal information, nor would I want them judging me, my situation, and perhaps even preventing me from changing jobs in the future based on their own assumptions of my situation. Upper management should never be privy to employees personal information. The committee should be made up of non-biased people, ideally who do not work on campus. I am appalled and hope that this part of the process will be changed.</p>	<p>and requiring any official in conflict to withdraw from the process.</p>
31-Oct-18	Form	<p>I very strongly feel that it is a conflict of interest that staff complaints are heard by [Vice-President (Students and Enrolment)] and [Director of Health and Counselling]. It is very wrong that a staff member who works under them would have to have their private business disclosed to them. I can understand for student complaints but staff complaints should go to an outside source and not someone that could know the people involved in the case. This is a huge problem and could make things much worse for staff.</p>	<p>In the revised draft of the policy, section 8.8 has been added to include a conflict of interest provision and requiring any official in conflict to withdraw from the process.</p>
8-Nov-18	Charlatan Editorial	<p>One of the biggest policy updates under Carleton university president Benoit-Antoine Bacon is to the university's sexual violence policy (SVP). The listening phase of the consultations on the policy is currently in progress.</p> <p>One of the suggested changes is the addition of a clause which protects complainants from punishment for minor violations relating to alcohol or drug use.</p>	<p>In the revised draft of the policy, section 8.9 has been added providing immunity for minor drug and alcohol offences. Specifically, a complainant acting in good faith who discloses or reports sexual violence will not be subject to actions for violations of university policies related to drug and alcohol use at the time the sexual violence took place.</p>

		<p>Carleton administration should strongly support this clause in order to eliminate a major barrier to reporting incidents of sexual assault.</p> <p>The fear of being punished for the circumstances surrounding their sexual assault is one among many deterrents for survivors of sexual assault in reporting their case to authorities. In creating an immunity clause for survivors in the SVP, the university gets a little bit closer to an incident reporting process that shows compassion to those who choose to come forward.</p> <p>It's important for the university to regularly update its sexual violence policy, especially since understanding of, and beliefs surrounding, sexual violence, survivors, and perpetrators, are constantly changing.</p>	
21-Nov-18	Form	<p>I echo the recommendations made by the Graduate Students' Association, shown below.</p> <p>My own concern is the incentive that Carleton has to promote sexual violence reporting. Carleton would obviously like to have low sexual violence on campus, which, by making a system that deters survivors from reporting, could lead the data to show that there is low sexual violence on campus.</p> <p>Instead, we need a system that encourages reporting.</p> <p>The Graduate Students' Association comments, which I agree with, are shown below:</p> <p>1. We recommend the Sexual Violence Prevention and Education Committee (established under section</p>	<p>Carleton is committed to providing a safe environment where everyone feels safe to report an incident of sexual violence and encourages survivors to come forward. Carleton respects that the decision to come forward must be the choice of the complainant.</p> <p>The Sexual Violence Prevention and Education Committee (SVPEC) will be tasked with developing the Campus Sexual Violence Prevention Strategy, which will be their work plan.</p> <p>Carleton will continue to focus on the implementation of the Sexual Violence Policy. In the revised draft of the policy under section 5.2(c), the SVPEC has been tasked with making recommendations on the policy</p>

		<p>5.2) be given the ability to make ongoing recommendations on the Policy. The work of the Committee can be facilitated through Equity Services, while the Committee itself reports to the President and has the ability to address the Board of Governors. In the first years of implementing the Policy, the Committee will play a crucial role in assessing support services and the complaints process, while also working to address any unresolved issues in relation to the Policy, its implementation, as well as educational initiatives that are undertaken. The Committee would have access to non-identifying information on requests for support services as well as complaints.</p> <p>2. It is strongly believed that a survivor-centric policy for Carleton University should facilitate a complaint process that does not require the Complainant and Respondent to face each other in a formal hearing. Requiring survivors of sexual violence to face the accused person makes the process of filing a complaint no less arduous than pursuing criminal charges through the legal system. Carleton University's policy should aim to make the process less onerous by ensuring that a Complainant is not forced into a meeting with the Respondent.</p> <p>3. Language must be included that protects a Complainant from reprisal for violations relating to alcohol or drug use. The Community Update presents an argument against providing "blanket immunity" and states that the "mandate is to focus on sexual violence and the complaint at hand, independently of other</p>	<p>for consideration during the review process every three years.</p> <p>The Sexual Violence Policy is based on ensuring that both parties have procedural fairness. The Sexual Violence Review Committee will consider appropriate and reasonable accommodations as necessary to meet this requirement. Language has been added in the revised draft of the policy in sections 8.11 and 9.6.</p> <p>In the revised draft of the policy, section 8.9 has been added providing immunity for minor drug and alcohol offences. Specifically, a complainant acting in good faith who discloses or reports sexual violence will not be subject to actions for violations of university policies related to drug and alcohol use at the time the sexual violence took place.</p> <p>While we recognize that some survivors may wish to speak out about their experience as part of a therapeutic process, an important aspect of procedural fairness and an impartial formal investigation is confidentiality during the complaint process. We have reviewed the confidentiality section to ensure that we are not creating a policy that violates the rights of any parties, exposes complainants to possible cases of defamation, and appropriately balances requirements and complies with legal obligations (such as the <i>Freedom of Information and Protection of Privacy Act</i>). Sections 7 and 8.5 of the policy describe and clarify the scope of confidentiality and also allow for any additional</p>
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		<p>policies.” It is not possible to address sexual violence in isolation. It is unlikely that survivors will seek support services or file a complaint if they risk persecution under other policies. Language could easily be included that provides immunity under specific circumstances. The Policy could, for instance, specifically indicate to survivors that they will not be persecuted if they were in violation of alcohol or drug use policies at the time of the incident.</p> <p>4. Complainants should be able to speak publicly about their experience with the understanding that providing identifying information may jeopardize their case and / or leave them legally liable. While clarifying the term “public statements” is a useful step, the expectation that survivors of sexual assault can only speak about their experiences for therapeutic purposes contributes to the silence surrounding sexual violence.</p> <p>5. To clarify the applicability of the Policy to off-campus events, the addition of the following sentence to section 3.1 is recommended: Off-campus interactions would reasonably fall under the scope of this policy when the outcomes of such interactions are reported to have an impact on an individual’s ability to learn and/or work at Carleton University.</p>	<p>specific questions related to confidentiality that can be addressed throughout the process.</p> <p>The Sexual Violence Policy already applies to off-campus events through sections 3.1 and 4.1. Additionally, there are other policies and processes that address visitors to the campus. In the revised draft of the policy, section 9.1(c) has been updated to address concerns about how a formal complaint is handled against a person who is not a member of the university community, such as a visitor.</p>
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Appendix A: Design-Thinking Workshop Agenda

Welcome, land acknowledgement, introductions (7 min)

- If you are triggered by the content of this workshop, please connect with Bailey Reid, Sexual Assault Services Coordinator at 613-520-2600 ext 8454, or chat with your facilitator about resources on campus.
- If you would like to offer feedback that you didn't feel comfortable giving in this workshop, please feel free to use the online form at: <https://carleton.ca/sexual-violence-support/sexual-violence-policy-consultation/>

Opening: [Meaningful/Pleasant](#) (5 min) (1 sheet per session)

In this activity, the group works together to identify what will make the workshop today meaningful, as well as the things that will make it pleasant. This map is kept up to form a set of “ground rules” for the duration of the workshop.

Big picture thinking: [Value Proposition Canvas](#): (35 min) (3 groups per session, one sheet per group)

In this activity, the participants are broken into three groups, each with represent a “user” of the Sexual Violence Policy: The complainant, the respondent, and the university. Coming from each of these viewpoints, the groups will create a vision and set of values for the policy as three users.

Each group is given ten minutes per user to brainstorm values, and then the sheets will rotate. Each group will have the chance to work as each user.

Formal complaint process review: [Storyboarding](#) the ideal process (35 min – 20 min of work and 15 min to debrief as a group) (3 groups per session, each storyboard has 2 sheets)

The purpose of this activity is to identifying the “ideal state” of the formal reporting process for Carleton. Specifically, the Board of Governors has identified the following areas for review:

- the perceived requirement within the Policy for the Complainant and Respondent to face each other in a formal hearing;
- potentially adding an immunity clause or statement which protects Complainants or those seeking help from punishment for minor violations relating to alcohol or drug use;
- reconciling the perceptions of cross-institutional applications of FIPPA as it relates to sharing information about disciplinary actions or consequences against the Respondent, and;
- articulating the types of statements which are prohibited within the confidentiality section in the Policy;
- clarifying timelines throughout the Policy;
- whether to include visitors and alumni into the scope of the Policy under the definition of “University Community”;
- clarifying the accommodation process and interim measures;

- as the Policy applies both on and off campus, consider specifying how the Policy is applied to incidents which occur off campus;
- reviewing the role of the Director of Equity Services on the Sexual Violence Review Committee;
- reviewing the Section 10 appeal process, and;
- changing the font that the policy is published in to align with CNIB recommended fonts.

Small groups will be given a set of worksheets to “storyboard” the ideal process, particularly considering these identified areas, though it is not limited only to those areas. Each group will be given eight sections for the storyboard, but more can be provided if needed. Ideally these stories are drawn, not written.

Each group will share their board, and everyone will listen for insights, themes, or “ah-ha” moments.

Answering Key Questions: [Carousel](#) (30 min) (Individual answers on answer sheets)
In this activity, we ask five key questions to the group, which they are given six minutes to answer before they switch to the next question. This is done individually, not as a group. The goal of this activity is not to get all the information, but instead get the most meaningful information.

The questions asked will be:

1. What barriers do you perceive to reporting sexual violence through the policy?
2. What does a “survivor-centric” approach mean to you?
3. How do we challenge rape culture on campus?
4. How can we balance “due process” for respondents and survivors?
5. What is the most critical quality to you for the sexual violence policy to have?

Closing activity: [Start Stop Continue](#) (8 min) (3 groups)

In small groups, participants are given the “Start/Stop/Continue” Matrix for the Sexual Violence Policy and are asked to come up with ideas about what to start doing in the policy, what to stop doing in the policy, and what to continue to do in the policy. These charts will be collected.

Feedback Report on the Revised Sexual Violence Policy Draft

2nd Round of Feedback – Drafting Phase

Consultation Meetings, Design-Thinking Workshops, Online Feedback

Date: March 29, 2019

Overview

After carefully reviewing the feedback provided on the Sexual Violence Policy during the listening phase of the consultation work plan, a draft version of the revised Policy with tracked changes was made public to the Carleton community for additional feedback.

The following report is a summary of the feedback received on this draft version of the revised Policy throughout the drafting phase of the consultation work plan.

Consultation Meetings

Throughout the drafting phase of the consultation process, Bailey Reid (Sexual Assault Services Coordinator, Equity Services) and Laura Storey (Director, Housing and Residence Life, Office of the Vice-President (Students and Enrolment) (OVPSE) met with key stakeholder groups on campus. Consultation meetings occurred with:

- Carleton Academic Student Government (CASG) Council
- Carleton University Students' Association (CUSA)
- Carleton University Students' Association (CUSA) Council
- Rideau River Residence Association (RRRA)
- Other individuals as requested
- Student Governors, Board of Governors
- Governance Committee, Board of Governors
- CUASA
- CUPE 4600
- CUPU
- OPSEU 404

Other unions and groups either did not respond or declined to meet.

Design-Thinking Workshops

A total of 6 design-thinking workshops took place for members of the Carleton community which were a combination of open and closed sessions. In total, 15 people participated in these workshops.

These design-thinking workshops were structured to foster organization and facilitate constructive feedback on the revised draft of the Sexual Violence Policy with tracked changes. In order to provide insight into how this feedback was obtained, we have included the agenda for these workshops as an appendix.

Online Feedback

During the listening phase, there were 80 anonymous form submissions (62 of which were a form response containing the exact same content), 5 emailed responses and 1 editorial from the Charlatan. This online feedback is presented as submitted.

Additional Feedback

Additional feedback was also considered from the following sources and is included in this aggregated feedback:

- Carleton Graduate Students' Association and Canadian Union of Public Employees 4600 "Joint Response to the Carleton Sexual Violence Policy" submitted on March 15, 2019 and available on the consultation website.
- Meral Jamal's "Revised SVP draft released to the Carleton community" published in the Charlatan on February 7, 2019 and available on <http://charlatan.ca>

Main Themes

Throughout the drafting phase of the consultation process, several main themes emerged from the feedback provided:

- Policy Administration
 - Accessibility of the Policy
 - Accommodation process
 - Changing role of Equity Services
 - Immunity clause
 - Inclusivity of the Policy
 - Off-campus and non-Carleton community member processes
 - The Sexual Violence Review Committee
- Response
 - Confidentiality
 - False claims
 - Formal process
 - Interim measures
 - Relationships
 - Support person
- Education and Continuous Improvement
 - Reporting options
 - Commitment to education
 - Transparency

This report has been organized by these themes, and has the aggregated feedback received during the drafting phase of the consultation process. This feedback has been examined and assessed in the review of the Sexual Violence Policy. Responses to the feedback received have also been included.

Policy Administration

Accessibility of the Policy

Related to the clarity of the Sexual Violence Policy in general, we received feedback on how to make the policy and processes more accessible. The suggestions we received were:

- Have different ways that the Policy could be consumed (i.e. infographic, flowchart, one page summary, etc.) and on the Equity Services website to address the concerns regarding the length of the document
- Create a clear process page that just lists the step-by-step procedures for a formal complaint through the use of a checklist outlining the investigation process
- Use accessible language
- Consult with disability, mental health, and newcomer population experts regarding accessibility of the formal process and language in the policy
- Ensure multiple places and options on-campus can explain the options of a formal or informal reporting process

University Response

Carleton University is committed to having an accessible policy for everyone. The revised Policy has been updated to use CNIB-approved font (12pt, Arial) and has been separated into two sections:

- Part A: Policy and Support Services
- Part B: Complaint Process and Procedure

Prior to the publication of the Sexual Violence Policy, a table of contents will be added.

The University will develop a flowchart to explain the Policy, processes and options available for both formal and informal complaints. This will be promoted across the campus and on appropriate websites. We will also develop and deliver a 2.0 version of the highly successful Sexual Violence Prevention and Response training session.

Additional outreach and public education opportunities on the Policy and related processes will be developed by the Sexual Violence Prevention and Education Committee as part of the Campus Strategy on Sexual Violence Prevention.

As noted in section 6 of the Policy, an Equity Services staff member will assist individuals to navigate the Policy, including both the formal and informal process, and their options.

Accommodation process

The following feedback was received regarding accommodations offered through the Sexual Violence Policy:

- Clarify the University's role in ensuring that accommodations are met in a timely manner
- Consider the graduate student experience specifically, including:
 - Timelines with FGPA and funding if the survivor needs to take a leave of absence from work or school obligations and who will work with the administration to respond to these concerns
- Accommodation process and options on the first page of the Policy so survivors know where to go without reading the entire Policy
 - Options for accommodation should be stated within this part of the Policy (i.e. seeking accommodations informally from a professor or through Equity Services)
- Options where the survivor can seek out accommodations should be made clear in the policy.

University Response

Section 6.5(a) of the Sexual Violence Policy states that interim academic or employment accommodations are available and depend on the person's needs and the circumstances. Each accommodation is provided in a specialized way to the person, whether they be an undergraduate student, graduate student, staff member, or faculty member and that are appropriate in the specific circumstances.

The addition of a table of contents should make it easier for survivors to find the appropriate section of the Policy. However, we also encourage any survivor who is looking for support to access the list of resources on the website:

<https://carleton.ca/sexual-violence-support> or by contacting the Carleton Sexual Assault Support Centre at (613) 520-5622. We will ensure that the website is updated with appropriate information relating to accommodations and supports in consultation with the Sexual Violence Prevention and Education Committee. In addition, as previously noted, a flowchart to explain the Policy, processes and options available for both formal and informal complaints is being developed. This will be promoted across the campus and on appropriate websites.

Changing role of Equity Services

The withdrawal of Equity Services from the Sexual Violence Review Committee (SVRC) and its role with regards to the Sexual Violence Policy was identified as concerning during this feedback process. The following feedback was received:

- Section 6.5(d), “Equity Services must ensure that the following steps occur,” should be reviewed, as this may not be Equity Services’ role anymore
- Section 9.1, “Filing and initiating a formal complaint,” should refer to Equity Services role in the provision of support for survivors who choose to file a complaint

University Response

As supported by Equity Services, the Director of Equity Services will no longer sit on the Sexual Violence Review Committee (as noted in section 6.5(c)). This revision is supported by Equity Services and allows the Sexual Assault Support Centre, housed within Equity Services, to act as an independent body focused solely on support of the Complainant, removes the potential for a conflict of interest and is aligned with best practices in the university sector.

Equity Services will continue to be available for consultation and support to the Sexual Violence Review Committee at any time, and as necessary, as identified in section 6.5(e).

Immunity clause

Feedback in general regarding the immunity clause was positive, with stakeholders happy about its inclusion. The following suggestions were made with regards to the immunity clause:

- Any witnesses involved in the policy process should be included under the immunity clause
- Clarification regarding the following terms:
 - “Minor” infractions
 - “Good faith”
 - “Immunity”
- Expansion of immunity clause outside of alcohol to include: underage drinking, underage cannabis use, drug use of any kind, contraband possession, engaging in sex work, working in the lab after hours, gambling, breaking *Residence Standards*, and other infractions on school policy
- A statement in the Policy regarding the University’s commitment to protect survivors and witnesses from external legal prosecution
- Clear protections should be outlined and identified as superseding other penalties through Campus policies

University Response

The included provision is modeled on OurTurn's recommended immunity clause. As stated in the Policy (section 8.9), complainants who come forward in good faith to disclose their experience will not experience consequences as per university policy for underage drinking or drug use. This would apply to witnesses who come forward in good faith as well.

Section 12.1 includes a statement that in the case of a conflict between any of the other policies and the Sexual Violence Policy, the latter takes precedence to the extent of the conflict.

Inclusivity of the Policy

Feedback was received regarding the inclusivity of marginalized voices and diverse experiences of sexual violence under the policy. The following concerns were highlighted:

- Include the intersectional experiences of sexual violence for racialized folks, Indigenous people, 2SLGBTQ+, and people with disabilities.
- The definition of "sexual harassment," should be inclusive and expansive around experiences of marginalized folks
- The Policy should include on- or off-campus supports and processes that reflect the intersectional needs of students, staff, and faculty

University Response

The Policy addresses intersectionality. Section 1.1 of the Sexual Violence Policy includes the following statement: "Carleton acknowledges that individuals who are members of equity-seeking groups who experience intersecting forms of disadvantage based on the protected grounds in the Ontario Human Rights Code may be disproportionately affected by sexual violence and its consequences."

The term "sexual harassment" is a defined term in the policy under section 4.1 and is based on the definition in Bill 132. The list of examples provided is not meant to be exhaustive and is instead illustrative.

It is the University's commitment to ensure anyone who experiences sexual violence on campus is treated with dignity and respect. If a survivor does not feel comfortable with Carleton's Sexual Assault Support Centre based on their lived experience and identity, the Coordinator of Sexual Assault Services can assist with finding community resources that can support that survivor's unique needs.

Off-campus and non-Carleton community processes

Feedback was received regarding the involvement of members outside of the Carleton community and included:

- Clarify what happens if external police services are involved with regards to the Policy
- Recognize the limitations of the Policy if a guest is assaulted on campus and list what they can do outside of the Policy for support and reparations
- There is no acknowledgement of fraternities and sororities are made within the policy

University Response

As noted in section 9.1(c) a formal complaint process may be suspended due to jurisdictional or other legal considerations such as an active police investigation or criminal prosecution. Regardless of the status of any process, support and accommodations to complainants will continue to be provided as is detailed in the Sexual Violence Policy.

The term “University Community” is a broadly defined term in section 4.1 of the Sexual Violence Policy. As is stated in section 3.1, the Policy applies to all members of the University community whether they are in the University’s learning, living or work environment, on or off-campus, or interacting through social or electronic media.

Section 9.1(c) addresses concerns about how a formal complaint is handled against a person who is not a member of the university community such as a visitor.

At this time, Carleton University does not recognize sororities and fraternities. However, members of those organizations who are students at Carleton are included in the definition of “University Community”. As such, they are held accountable under Carleton’s Sexual Violence Policy and the Student Rights and Responsibilities Policy.

The Sexual Violence Review Committee

We heard the following concerns about the composition of the SVRC and their role:

- Concerns with the Chair being the Vice-President (Students and Enrolment)
- Concerns about the withdrawal of Equity Services from the SVRC
- Concerns about the Director of Campus Safety Services being on the committee
- Concerns about intersectional and diversity representation on the SVRC
- Concerns about the impact of committee members having other roles in the University on survivors coming forward
- Clarification with regards to the SVRC’s role in advocacy

- Justification within the policy with regards to who sits on the committee and why the committee is comprised of internal members
- External consultants are brought onto the committee, especially to Chair the committee, or make up the SVRC, having external expertise or having been trained and informed about equity and the survivor experience
- The introduction of a veto clause should be added to prevent personal relationships from impacting the outcomes of cases through the SVRC
- The addition of members from the Sexual Violence Prevention and Education Committee within the SVRC
- The addition of a student or union representative sitting on the SVRC when the complainant/respondent are students or union members
- The addition of someone who is specifically trained in the area of sexual violence, such as a psychologist or social worker
- Diversity, intersectionality, consent, and ability focused trainings for the SVRC

University Response

Carleton University believes that the best practice for reviewing formal cases of sexual violence is to have a committee to review each case following an investigation by a trained expert investigator. Based on feedback received during the listing phase of the consultation process, a conflict of interest provision was added as section 8.8. Further, the Policy now states that members of the SVRC may have a designate as per section 6.5(c).

All members of the SVRC receive sexual violence and procedural fairness training as stated in section 6.5(c) of the policy. Procedural fairness training is provided by the Ottawa Rape Crisis Centre and is trauma informed. This half-day training is provided annually to all members of the SVRC. As part of the formal process, Carleton also relies on legally trained investigators who have a background in sexual violence investigations. Sexual violence training is also provided by the Coordinator of Sexual Assault Services.

As supported by Equity Services, the Director of Equity Services will no longer sit on the Sexual Violence Review Committee (as noted in section 6.5(c)). This revision is supported by Equity Services and allows the Sexual Assault Support Centre, housed within Equity Services, to act as an independent body focused solely on support of the Complainant, removes the potential for a conflict of interest and is aligned with best practices in the university sector.

Response

Confidentiality

Confidentiality remained an area of focus during the consultation period. Questions and comments regarding confidentiality included the following:

- Recognition that the University supports the survivor and that all measures have been taken to consider the diverse confidentiality and disclosure needs of survivors
- A respondent should not be allowed to read the details of statements written by survivors
- Gossip with regards to survivors, whether seeking accommodations, restorative justice through the Policy, or not, should be addressed in the Policy through:
 - Inclusion in the Policy that those who know about the situation keep it confidential
 - A potential consequence for those who start/spread rumors
- There should be recognition within the Sexual Violence Policy about how the constraints on confidentiality interact with Carleton's *Free Speech Policy*
- Is there a way in which these confidentiality constraints can be lifted with regards to connecting with communities of care for survivors?
- Is there any filing or formal written reporting of these incidents with regards to employment and academic processes at Carleton?
- The Policy should include a statement regarding the negation of confidentiality restraints when there are multiple accusations
- There were also concerns around confidentiality about consequences:
 - Section 9.7(b) refers to FIPPA with regards to the disclosure of disciplinary actions. This should be referenced.
 - There must be a recognition that if there is a recommendation for dismissal, it must be in accordance with a staff/faculty's Contract Agreement

University Response

The University is committed to a fair, impartial and confidential process for all involved in a formal investigation. This includes allowing both the Complainant and Respondent to have access to all information provided during an investigation, including written statements, which is a procedural fairness requirement.

While we recognize that for many survivors, the healing process includes speaking about their experience, it is mandated by legal requirements including procedural fairness and privacy obligations that all parties maintain confidentiality throughout the process. However, this does not prevent a survivor from seeking support through counselling, peer support, crisis line support, or by meeting with the Coordinator of Sexual Assault at any time.

As stated in sections 3.1 and 8.7, this Policy does not replace or supersede existing collective agreement provisions or abrogate any collective agreement protections.

False claims

Language within the Policy was flagged as having the potential to perpetuate rape myths.

- Within section 8.11: Procedural Fairness, there was concern that the section may foster a sense that false claims are common with regards to “credibility,”
- The statement in 2.2 (a) Consensual Romantic or Sexual Relationships Guidelines, “These relationships may lead to significant problems including allegations” should be re-worded as it implies that sexual violence allegations are commonplace and reinforce the idea that people may make claims based on personal/interpersonal problems
- Any implications regarding severity of sexual violence should be eradicated from the Policy, as Sexual Violence can only be measured by its impact to a survivor, not intent or external conceptions.

University Response

The addition of section 8.11 is modeled from Ryerson's policy, which OurTurn ranked as the highest rated policy in their assessment of campus sexual violence policies, and addresses the feedback received during the listening phase regarding procedural fairness concerns. We recognize that historically, the question of character of sexual assault survivors has been a way to discount their experiences and upholds a rape myth that survivors of sexual assault will lie for various reasons about their experience. The Policy requires formal investigations to be conducted by trained investigators with expertise in investigations of allegations of sexual violence. The investigators ensure that all investigations are conducted in an appropriate and sensitive manner.

Formal process

Feedback was received on the formal complaint, investigation, and reporting process in order to ensure restitution for survivors.

- There was concern around how the Policy does not simply state how a complaint is submitted
- Clarification was requested regarding who the investigator is, their relationship to the University, and what type of expertise they have

- There should be clear statements that survivors are not expected to read the respondent's statements, and that they are never expected to interact face-to-face throughout the process
 - Other options may need to be listed, including phone meetings for survivors
- As the process of making a formal complaint is very long, the change to 30 days for an appeal time is excessive

University Response

The process for filing a formal complaint is described in section 9.1 of the Sexual Violence Policy. However, as part of a commitment to the accessibility of the Policy, the University will develop a flowchart to explain the Policy, processes and options available for both formal and informal complaints. This will be promoted across the campus and on appropriate websites and will be included in additional training sessions.

The Sexual Violence Policy requires that formal investigations be conducted by trained investigators with expertise in investigations of allegations of sexual violence. The investigators ensure that all investigations are conducted in an appropriate and sensitive manner.

Section 9.6 states that the Complainant or Respondent may request accommodation regarding their participation at a meeting.

During the consultation process, we received initial feedback that the appeal time limit was too short and other feedback that original time limit was too long. In order to compromise between two suggestions, we have revised the time limit to be 15 days.

Interim measures

Questions and comments were raised regarding the interim measures in the Sexual Violence Policy.

- It is suggested that who imposes and adjudicates the interim measures listed in section 8.12 is clarified
- Campus and school activities should be defined within the policy: if a campus club/faculty is hosting an event off-campus, will the restriction apply?
- The Policy should include recognition that these interim measures will be stated clearly in verbal and written form
- The precaution to put a person on non-disciplinary leave regarded as extreme and only for a predetermined period of time

University Response

Interim measures and accommodations are determined in accordance with the needs of the survivor, the specific circumstances and the safety of the community. Section 8.12 outlines that where interim measures are necessary, the University will seek to implement the least disruptive measures that still promote safety and security. Such measures are without prejudice to the ultimate outcome of the complaint process and are not intended to be disciplinary in nature. A party may request modifications to interim measures and those requests will be considered in relation to the circumstances of the specific case and the safety of the community.

As is stated in section 3.1, the Policy applies to all members of the University community whether they are in the University's learning, living or work environment, on or off-campus, or interacting through social or electronic media.

Relationships

While collecting feedback on the second draft of the Sexual Violence Policy, it appeared that there was some concern around Section 2.2: Consensual Romantic or Sexual Relationship Guidelines. Concerns and suggestions include the following:

- The statement in 2.2 (a) "These relationships may lead to significant problems including allegations" should be re-worded as it implies that sexual violence allegations are commonplace, reinforcing the idea that people may make claims based on personal/interpersonal problems
- The addition of a statement saying "Disclosure is not an admission of wrongdoing."
- A reference to Carleton's *Conflict of Interest* policy and guidelines regarding relationships
- An addition of a disclaimer that "Disclosure of a relationship does not negate the option of making a complaint in the future."
- Emphasis in this section should be on respect rather than fear in this section

University Response

Although faculty-student relationships are not banned, such relationships are strongly discouraged through both the definition of consent in the Sexual Violence Policy and explicitly in the existing sexual harassment provisions of Carleton's Human Rights Policies and Procedure. As is currently the case at Carleton, any relationships with a power imbalance must be disclosed and appropriate steps taken. While Carleton wants to uphold the autonomy of staff, students and faculty to make decisions about their relationships, it is important to ensure that pedagogical relationships and the

workplace are protected from activities or influences that can interfere or conflict with the learning and the work environment.

Support person

Access to and the role of the support person during the formal process was raised as an area of concern from the Carleton community to ensure the support of survivors. The following feedback and suggestions were given:

- Unions should not be listed as a support person, and should be available separate from the role of a support person
- Interpreters, translators, and other persons which a person with a disability would need, should be defined separately from the role of a support person

University Response

Under section 8.4, we have clarified who a support person may be. Should a Complainant or Respondent require accommodations, such as the need for a translator or interpreter, the request will be assessed at the time and such person will not fill the role of a support person.

As stated in section 3.1, this Policy does not replace or supersede existing collective agreement provisions.

Education and Continuous Improvement

Reporting Options

Feedback was collected regarding the options for reporting both within and outside of the Policy. Overall, concerns were raised that many options should be listed within the Policy for reporting outside of the formal process defined by the University. Feedback included the following:

- Additional clarification and recognition of individual mental health needs with regards to emergency personnel should be considered with regards to Section 6.3 “Disclosure in an Emergency Situation.”
- Grievance options through the support of Unions should be listed
- Options for reporting through alternative legal methods should be listed
- Emphasis on choice surrounding disclosure and reporting should be emphasized
- Request for third-party and anonymous reporting options

University Response

The Coordinator of Sexual Assault Services will support any Complainant through the various reporting options they have, including a union representative, or referral to legal supports.

The grievance process exists for members of a labour union through their respective collective agreements. As stated in sections 3.1 and 8.7, this Policy does not replace or supersede existing collective agreement provisions or abrogate any collective agreement protections.

In order to ensure procedural fairness, formal complaints cannot be anonymous. However, at no time is a survivor forced to name the person who caused harm in any informal process. Support is provided to a survivor unconditionally and based on their needs and wishes.

Commitment to Education

Feedback which pertains to the role and activities of the Sexual Violence Prevention and Education Committee included:

- Promotion of a consent culture on campus to clarify and justify the term “consent,” as defined in the Sexual Violence Policy to the Carleton community
- Commitment to creation and implementation of ongoing education and training for all members of the Carleton community
- Work towards creating support for survivors or referring survivors to supports that are available beyond 8:30-4:30 Monday through Friday

To further Carleton’s commitment to ending sexual violence, requests have been made on behalf of the Carleton Graduate Students’ Association and Canadian Union of Public Employees 4600 Consent Culture Committee.

- A mandate within “Carleton’s Commitment and Values,” of education and training for all students, faculty, staff, and administration
- Specific and frequent educational opportunities, well-advertised and at no cost in the areas of:
 - Accessing the Sexual Violence Policy
 - Equity and inclusivity training focusing on intersectionality and anti-oppression
 - Up-to-date, accessible, and accurate resource materials in many public locations on campus with regards to consent, sexual violence, and sexual health
 - Safe spaces to challenge stereotypes with regards to sexual violence
 - Frequent workshops and seminars regarding consent, sexual health, reproductive justice, and safer sex practices prioritizing consent and communication

- Early outreach programs for students transitioning to university surrounding consent

University Response

The Sexual Violence Prevention and Education Committee (SVPEC) will be tasked with developing the Campus Sexual Violence Prevention Strategy, which will be their work plan. Many of the feedback items identified throughout the consultation process will be used in the strategy including educational outreach. The SVPEC continues to be committed to providing sexual violence training and information to members of the University community.

Transparency

To ensure a survivor-centered perspective of sexual violence, Carleton's commitment to transparency in all sexual violence processes and procedures has been emphasized as essential. In particular, feedback was received in the following areas as being ambiguous. Suggestions include:

- The definitions of sexual violence and sexual harassment
- What "sexual violence and procedural fairness training," (as per Section 6.5(c)) entails and how often it is revisited by members of the SVRC
- Evaluation criteria for monitoring and evaluating the effectiveness of the Policy (Section 5.1d): Education, Prevention, and Awareness)
- An outline of how the finding of fact takes place during the formal process

University Response

Definitions to sexual harassment and sexual assault have been updated in section 4.1 of the Policy.

All members of the SVRC receive sexual violence and procedural fairness training as stated in section 6.5(c) of the policy. Procedural fairness training is provided by the Ottawa Rape Crisis Centre and is trauma informed. This half-day training is provided annually to all members of the SVRC. Additional sexual violence training is also provided by the Coordinator of Sexual Assault Services in Equity Services.

As part of the formal process, Carleton relies on trained investigators who have a background in sexual violence investigations.

The University is committed to building measurement data tools as part of the Campus Sexual Violence Prevention Strategy.

Online Feedback

The following feedback was received through email and the anonymous feedback online form. Responses to address this feedback are included in this aggregate report. Carleton University is committed to having a survivor-centric policy while ensuring procedural fairness. The University thanks the Carleton community for their feedback throughout the extensive consultation and review process of the Sexual Violence Policy.

Date	Format	Content
30-Jan-19	Email	I'm just wondering what is meant by " If credibility is at issue," in page 17 of the document. From a legal perspective, this statement seems a bit problematic because it means that a person's character is being considered when trying to determine what the truth is. This section seemed a bit vague about how decisions will be made.
30-Jan-19	Email	Hi, The process of making a formal complaint is already very long so I feel that the policy should stick to a 10 day appeal time rather than changing it to 30 days
30-Jan-19	Email	Where is this "consultation website" link?
30-Jan-19	Email	Hi there, I was just wondering if you knew of any days that would be open for students to come sit in on a feedback session. For one of our classes we have to attend a policy meeting for something that interests us and I remember there was a referendum on this policy last year that I was upset about missing. Would we be allowed to sit in on these meetings, but not contribute? Thank you for your help,
30-Jan-19	Form	A large portion of rape victims were never in danger of death. They are therefore not survivors. They should be classified as rape victims and not survivors.

30-Jan-19	Form	The proposed revised policy is superb. Well written, current, and in clear language, it is an evident improvement on the significant advance achieved through the 2016 policy. The key to a new policy's success is education and awareness, in other words, discourse. We need to make the policy a touchstone for routine engagements of each other, including peer and collegial support mechanisms, and transparency of how the policy and our community's commitment to it is manifested.
30-Jan-19	Form	It is my belief that the definition of sexual violence and sexual harassment are too vague. Section 7.3 b) should be modified or removed since this clause could always be used to reveal the identity of the accused. An explicit statement is required that the identities of the complainant and the accused will be kept confidential. It would also be pertinent to add a section which will hold the complainant in contempt if they reveal the accused's identity in a public manner i.e. a social media statement. This type of statement can cause serious harm and when made in error is a tragedy.
30-Jan-19	Form	I would change the name "Sexual Assault Support Services" into a more appropriate one e.g. "Sexual Assault Victims Support Services"
30-Jan-19	Form	I am concerned about the role of due process in decisions made by the SVRC, as I was unable to find mention of it in the Sexual Violence Policy. The process by which the SVRC would arrive at a "fair" decision is not clear from the document. As an integral element of Canada's legal system, I would hope that the principle of innocent until proven guilty beyond reasonable doubt would be applied. However, I've heard horror stories in other universities, resulting from a burden of proof on the accused. I would like this principle to be explicitly included in the policy. Otherwise what could prevent anyone of accusing a personal enemy of sexual assault, and unjust action being taken by the university in the lack of evidence?

30-Jan-19	Form	<p>I have two concerns related to the definition of consent used in Carleton's Revised Sexual Violence Policy Draft.</p> <p>'Consent cannot be given by a person whose judgement is impaired by drugs and/or alcohol or by other forms of impairment.'</p> <p>I find this to be ludicrous. As everybody knows, people consent to sex while drunk or on drugs all the time. The definition used here is much too broad. Indeed, by this measure if two drunk people have sex, then you might conclude that they are raping each other. The issue at hand is really of drug- or alcohol-induced incapacitation, not impairment.</p> <p>I secondly take issue with the the claim that consent 'cannot be assumed nor implied.' What does 'explicit' consent look like? A verbal acknowledgement of consent? Again, as everybody knows, most people do not seek verbal acknowledgements of consent prior to having consensual sex. In fact, almost all the time, consent is implied through positive-physical-feedback.</p> <p>This is more than a semantic issue. An overly broad definition opens the the policy up to abuse, false, or hysterical accusation. Such accusations may be statistically rare, but they will have a disproportionate impact on lessening the credibility of real survivors of assault.</p>
31-Jan-19	Form	<p>I would like to see greater transparency in the remainder of the consultation process. One way to do this is by posting the recommendations students offered in reflection of the previous sexual violence policy and the reasons for which they were not accounted for in the amended draft version.</p>

3-Feb-19	Form and Email	<p>I was reading through Carleton's sexual violence policy and, for the most part, found it measured and appropriate in its definitions. However, one particular line seems ill-defined. Under the definition of consent it is listed that it "Cannot be given by an individual whose judgement is impaired by alcohol and/or drugs". I believe it should be changed to "grossly or obviously impaired" as mere impairment is not always obvious and it doesn't inherently absolve an individual of personal responsibility under Canadian law.</p> <p>In the eyes of Canadian law, an individual is largely considered responsible for their actions taken when they have voluntarily become intoxicated. For instance, if an individual does not attain consent and proceeds to engage in sexual behaviour with a nonconsenting party, that individual may rightfully be charged with sexual assault and whether they were impaired themselves has little bearing on their innocence. In other words, you are responsible for being impaired and for the actions you commit whilst impaired.</p> <p>The definition above seems to implicitly contradict this precedent. According to the definition above, if a voluntarily-intoxicated party gives consent, they are deemed absolved of responsibility for that decision and any sexual behaviour that follows. If two impaired individuals engage in consensual sexual behaviour, then, according to this policy, either party can withdraw their consent at a later date and the other party has then committed rape. If impairment is not obvious and verbal consent was given, the offending party has no reasonable way of discerning whether or not they have actually received consent. Since consent cannot be attained if it cannot be obviously discerned, then consensual sexual behaviour between students cannot occur as far as this policy suggests; no student can be fully certain whether another student is impaired in some capacity regardless of whether substances are obviously present or not. In order for consent to remain a valid measure of appropriate sexual behaviour, it must be considered retrospectively immutable, a student who is impaired, but not grossly so, must have the right to give consent and the obligation to shoulder that decision.</p> <p>If an individual is responsible for sexual behaviour when impaired then that must apply to both the party responsible for receiving consent and the one responsible for giving it (although it should be obvious that the lines dividing those two parties is rarely distinct or obvious in genuine social interactions). The policy as outlined is too broad in its definition of consent and this invalidates the concept. Poorly defined or contradictory standards of responsibility are likely to lead to gross</p>
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		<p>miscommunication and impair students' ability to discern whether they are acting appropriately or not.</p> <p>If Carleton University continues forward with the policy as it is outlined above, they would be creating a poorly regulated and potentially unsafe campus environment for their students.</p>
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4-Feb-19	Form	As per section 6.5 (c), I am concerned that there are only university stakeholders on the "Sexual Violence Review Committee" and no one specifically trained in the area of sexual violence (ie. psychologist, social worker). Regardless of the "sexual violence and procedural fairness training", someone who is in the field of sexual assault and violence is pertinent to a fair and equitable evaluation of the survivors' case. Also, the policy needs to be transparent about what the "sexual violence and procedural fairness training" entails (who is providing the training, how often is the training occurring, how many hours does this include), otherwise how will the community know the training is appropriate and valuable.
4-Feb-19	Form	As per section 6.5 (c), I am concerned that there are only university stakeholders on the "Sexual Violence Review Committee" and no one specifically trained in the area of sexual violence (ie. psychologist, social worker). Regardless of the "sexual violence and procedural fairness training", someone who is in the field of sexual assault and violence is pertinent to a fair and equitable evaluation of the survivors' case. Also, the policy needs to be transparent about what the "sexual violence and procedural fairness training" entails (who is providing the training, how often is the training occurring, how many hours does this include), otherwise how will the community know the training is appropriate and valuable.
4-Feb-19	Form	Have you considered contacting the head of the Our Turn action plan to assist in updating the policy? The policy appears to be university/stakeholder centered versus survivor-centered. Pretend you are an individual looking for support/file a complaint after a sexually violent event, and how your policy may aid or hinder the person moving through the 'system' as well as their academics.
6-Feb-19	Form	Due process is essential in order to protect the accused. In the listening phase feedback summary it is written that the complainant should be believed unless proven false, and the respondent presumed innocent unless proven guilty. These two contradict each other, and the policy needs to clarify how they relate. The policy should be transparent and deal with the straightforward example where there is no evidence against an accused except the word of the complainant. What decision would be taken in that situation?

7-Feb-19	Charlatan Editorial	Carleton recently released a draft of its revised sexual violence policy (SVP) for consultation. The revised SVP includes an immunity clause—an exception which grants survivors of sexual violence immunity to punishment for drug or under-age alcohol use which occurred at the time the sexual violation took place. The immunity clause is intended to prevent survivors of sexual violence from being discouraged from coming forward about the violation they experienced, as has historically been the case. The introduction of an immunity clause is a good step in combating sexual violence on campus. However, immunity in the current draft only applies to underage alcohol consumption and minor drug infractions. This partial immunity could continue to discourage survivors from coming forward about their experiences. In revising its SVP, Carleton must make sure it does not only provide conditional immunity to survivors of sexual violence, and include immunity for possible violations which are not considered minor. Furthermore, the SVP does not define what counts as a major or minor offence. If Carleton chooses not to open up the immunity clause to include protection from punishment for non-minor offences, the SVP must be more specific in defining what constitutes a major and minor offence.
10-Feb-19	Form	The revisions made to the draft are a big improvement. However the policy should go further to fully ban student and professor relationships like at the universite of Laval.
6-Mar-19	Form	Having read the policy I am wondering whether there is a possibility to include some provisions for third-party witnesses of sexual violence/inappropriate sexual conduct? In my previous institution there were at least 2 cases when a third party reported such behavior (a professor having consensual relations with students but treating those students better/differently than others). Seeing as sexual violence victims may not always want to report and that such situations may also be harmful (though much less so) to other people and to the university community as a whole I would like to see some way of reporting one's knowledge of such behavior to the appropriate bodies/authorities and policies put in place to address them.

14-Mar-19 & 15-Mar-19	Form (x62)	<p>Students on this campus deserve to have a survivor-centric Sexual Violence Policy. I hope that Carleton's administration and board members hear us when we say the changes in the first draft of the SVP policy are NOT ENOUGH.</p> <p>Carleton students want:</p> <ol style="list-style-type: none"> 1. Timelines: Specific timelines for investigations and reports; 2. Information on Sanctions: Complainants to be informed of all details of the interim measures and 3. sanctions against the alleged perpetrator; 3. Immunity Clause: A more robust immunity clause that goes beyond just protecting the complainant (all witnesses should have immunity as well); 4. Limits on Questioning: Include prohibition of questions regarding past sexual history - "Rape shield protections"; 5. Alternative Ways of Reporting: Add ability to submit anonymous and third-party complaints.
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14-Mar-19	Form	<p>I want:</p> <ol style="list-style-type: none"> 1. Timelines: Specific timelines for investigations and reports. Be accountable and hold the system to a standard. 2. Information on Sanctions: Complainants to be informed of all details of the interim measures and sanctions against the alleged perpetrator; 3. Immunity Clause: A more robust immunity clause that goes beyond just protecting the complainant (all witnesses should have immunity as well); 4. Limits on Questioning: Include prohibition of questions regarding past sexual history - "Rape shield protections". I am a law student and this is in the Canadian jurisprudence. If it cannot be used against a woman in a court of law it should not be acceptable in a progressive school. 5. Alternative Ways of Reporting: Add ability to submit anonymous and third-party complaints. <p>I am a third year undergraduate student, I excel in my studies, and I care about my colleagues. Carleton's sexual violence policy should lift up the community from its most vulnerable and absolutely needs to go every step towards protecting survivors. Sexual assault is one of the lowest reported crimes and these valuable changes will incentivize students to report.</p>

15-Mar-19	Form	<ol style="list-style-type: none"> 1. Timelines: Specific timelines for investigations and reports; 2. Information on Sanctions: Complainants to be informed of all details of the interim measures and sanctions against the alleged perpetrator; 3. Immunity Clause: A more robust immunity clause that goes beyond just protecting the complainant (all witnesses should have immunity as well); 4. Limits on Questioning: Include prohibition of questions regarding past sexual history - "Rape shield protections"; 5. Alternative Ways of Reporting: Add ability to submit anonymous and third-party complaints. 6. Gossip, Rumours impeding on the survivors ability to heal and a way to combat this
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Appendix A: Design-Thinking Workshop Agenda

Welcome, land acknowledgement, introductions (5 min)

- If you are triggered by the content of this workshop, please connect with Bailey Reid, Sexual Assault Services Coordinator at 613-520-2600 ext 8454, or chat with your facilitator about resources on campus.
- If you would like to offer feedback that you didn't feel comfortable giving in this workshop, please feel free to use the online form at: <https://carleton.ca/sexual-violence-support/sexual-violence-policy-consultation/>

Opening: Circle Game: Likes/Dislikes (10 minutes)

In this activity, the group works together to identify what they like in workshops, which they place within the circle, and which they don't like, which is placed outside the circle. This activity helps to act as ground rules throughout the workshop.

Reviewing the changes: [Spectrum Line](#): (45 minutes)

In this activity, the groups reviews the new draft of the Policy, and uses a spectrum line to give feedback on the three major feedback themes:

- Policy Administration
 - Accommodation process
 - Composition of the Sexual Violence Review Committee
 - Immunity clause for drug and alcohol use
 - Off campus and non-Carleton community member processes
 - Accessibility of the Policy
 - Question of false claims and due process, including restorative or educational options.
- Response
 - Communication around timelines including the appeal time limit
 - Faculty-student relationships
 - Confidentiality constraints, including speaking publicly about the experience
 - Face-to-face meetings
 - Fear of reprisal
- Education and Continuous Improvement
 - Role of the Sexual Violence Prevention and Education Committee
 - Support services offered

Reviewing the changes: [Actions for Retrospectives](#) (45 min)

Building on the previous activity, we'll use the themes identified in the spectrum line to make a matrix (below). Using this matrix, we can dig deeper into what was identified in

the previous activity, and make concrete recommendations for the next iteration of the policy.

Puzzles: Questions for which we have no answer	Improvements: What could be done better in the next iteration?
Appreciations: What you liked from the previous policy	Wishes: Identifying the ideal Policy

Closing activity: Debrief and Closing: [Remember the future](#) (15 min)

Imagine that the SV Policy is completed and updated and has been out for 6 months. Please describe in detail the specifics of the finished product and how it will affect Carleton's population. At the end, we'll present the ideas to one another.



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Sexual Violence Policy Review Consultation Process

Community Relations and Advancement
April 10, 2019



Consultation Process Values

- Transparency through a dedicated website
 - Work plan with updates
 - Anonymous feedback form
 - All communications, workshops and meetings listed
 - All feedback received will be posted online
- Multiple opportunities and formats for stakeholders to provide feedback
 - Anonymous online form, email, workshops, meetings
- Proactive consultation meetings with key stakeholder groups
- Design-Thinking Workshops
 - Externally facilitated session that uses hands-on methods to co-create feedback

carleton.ca/sexual-violence-support/sexual-violence-policy-consultation

Communications

- Commitment to communicate to all members of the Carleton community throughout each phase of the consultation process:
 - Email from the President to the Carleton community (faculty, staff, students)
 - Undergraduate and graduate student websites
 - Carleton Mobile app
 - MyCarleton Portal post
 - Facebook and Twitter
 - Undergraduate and graduate student newsletters
 - Carleton Top 5
- A list of all communications sent throughout the consultation process, with dates, is available on the website

carleton.ca/sexual-violence-support/sexual-violence-policy-consultation

Process Review Timeline

Phase	Timeline
Pre-Consultation Phase	August 2018
Process Consultation Phase	September 2018
Listening Phase	October - November 2018
Tactical Phase	November - December 2018
Drafting Phase	Mid-January - February 2019
Fine-Tuning Phase	March 2019*
Finalization and Approval Phase	April 2019

**The original plan was to begin this phase in February 2019, but was updated to March 2019 to allow sufficient time for consultation on the revised draft of the policy with tracked changes during the drafting phase – 45 Days*

Pre-Consultation Phase

- August 2018
- Pre-consultation on the consultation process
- Reached out to key stakeholders in advance
 - Sexual Violence Prevention and Education Committee
 - Human Resources
 - CUSA
 - GSA
 - OurTurn
- Goal was to gather feedback in advance of releasing the work plan and consult stakeholders on the proposed consultation process

**Pre-Consultation
Phase**

Process
Consultation
Phase

Listening
Phase

Tactical
Phase

Drafting
Phase

Fine-Tuning
Phase

Finalization
Phase

Process Consultation Phase

- September 2018
- Launched the Sexual Violence Policy Review website
- Posted the draft work plan online
- Feedback collected by anonymous form or email
 - All feedback received was posted online

Pre-Consultation
Phase

**Process
Consultation
Phase**

Listening
Phase

Tactical
Phase

Drafting
Phase

Fine-Tuning
Phase

Finalization
Phase

Listening Phase

- October – November 2018
- Posted the final work plan online
- Gathered feedback on the current Policy
 - 14 anonymous form submissions
 - 4 emailed responses
 - 1 Charlatan editorial
 - 13 Design-Thinking Workshops (22 people attended)
 - Stakeholder meetings with: CUSA, GSA, CASG, RRRA, OurTurn, CUASA, CUPE 910, CUPE 2424, CUPE 3778, CUPE 4600, OPSEU 404 (28 people involved)
- Identified main themes in three areas: Policy Administration, Response and Education and Continuous Improvement

Pre-Consultation
Phase

Process
Consultation
Phase

**Listening
Phase**

Tactical
Phase

Drafting
Phase

Fine-Tuning
Phase

Finalization
Phase

Tactical Phase

- November – December 2018
- Translated the feedback we received into actionable changes to the Policy
- Discussed changes and tracked them in the current Policy
- Compiled a feedback report and posted online
 - Lists all online submissions and aggregate data from consultation meetings and Design-Thinking Workshops
 - Provides explanation and rationale on all decisions (included, not included in the Policy)
- Identified feedback items for the Campus Strategy on Sexual Violence Prevention

Pre-Consultation
Phase

Process
Consultation
Phase

Listening
Phase

**Tactical
Phase**

Drafting
Phase

Fine-Tuning
Phase

Finalization
Phase

- Mid-January – February 2019
- Posted the draft version of the revised Policy with tracked changes and a feedback report outlining all feedback received with university responses
- Gathered feedback on the draft revisions
 - 80 anonymous form submissions (66 were template submissions)
 - 5 emailed responses
 - 1 open letter
 - 1 Charlatan editorial
 - 6 Design-Thinking Workshops (15 people attended)
 - 3 individual consultation meetings as requested
 - Stakeholder meetings with: CASG Council, CUSA, CUSA Council, RRRA, CUASA, CUPE 4600, CUPU, OPSEU 404, Student Governors, Governance Committee (~80 people involved)

Other unions and groups either did not respond or declined to meet

Pre-Consultation
Phase

Process
Consultation
Phase

Listening
Phase

Tactical
Phase

**Drafting
Phase**

Fine-Tuning
Phase

Finalization
Phase

Fine-Tuning Phase

- March 2019
- Refined revisions to the draft changes based on new feedback received
- Compiled a feedback report and posted online
 - Lists all online submissions and aggregate data from consultation meetings and Design-Thinking Workshops
 - Provides explanation and rationale on all decisions (included, not included in policy)
- Finalizing the Campus Strategy on Sexual Violence Prevention

Pre-Consultation
Phase

Process
Consultation
Phase

Listening
Phase

Tactical
Phase

Drafting
Phase

**Fine-
Tuning
Phase**

Finalization
Phase

Finalization and Approval Phase

- Governance Committee review of the revised Policy
- Senior Management Committee review of the revised Policy
- Community Relations and Advancement review of consultation process
- Governance Committee – April 15, 2019
- Board of Governors Executive – April 15, 2019
- Board of Governors approval – April 25, 2019 (pending)

Pre-Consultation
Phase

Process
Consultation
Phase

Listening
Phase

Tactical
Phase

Drafting
Phase

Fine-Tuning
Phase

**Finalization
Phase**

- Release of updated Sexual Violence Policy to the Carleton community pending Board of Governors approval
 - Email from the President to the Carleton community (faculty, staff, students)
 - Undergraduate and graduate websites
 - Carleton Mobile app
 - MyCarleton Portal post
 - Facebook and Twitter
 - Undergraduate and graduate student newsletters
 - Carleton Top 5
- Finalizing the alternative resolution process
- Release of the Campus Strategy on Sexual Violence Prevention
- Enhanced support tools, including a flow-chart, to navigate the Policy
- Enhanced sexual violence training

Reflections on the Review

- Provided many opportunities and formats for members of the Carleton community to provide feedback
- We were able to meet with all groups who wished to provide feedback
- Anecdotal feedback from members of the community has been that our review process was very transparent
 - All community outreach initiatives (workshops, communications, meetings) and all feedback received has been posted online
- Status of Women Canada gave great feedback on our consultative review process
- uOttawa, Ryerson, Guelph and Windsor have all inquired about adapting our consultation process for their own Sexual Violence Policy reviews

carleton.ca/sexual-violence-support/sexual-violence-policy-consultation



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Questions?



THANK YOU!

carleton.ca/sexual-violence-support/sexual-violence-policy-consultation

AGENDA ITEM

7.2

PRESIDENT'S REPORT TO THE BOARD OF GOVERNORS

April 25, 2019



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CELEBRATING A \$300 MILLION CAMPAIGN!

We can all take pride! On Feb. 11, 2019, Carleton officially surpassed the \$300-million goal of the Collaborate Campaign. As of April 5, the campaign total was \$307,804,432. This total continued to increase until the final Campaign Celebration event on Wednesday, April 17.

Carleton received gifts from 27,973 donors from throughout the community — alumni, parents, faculty, staff, students and the general public.

More than 1,800 alumni and community volunteers participated in campaign activities, including events, fundraising initiatives, mentorship and more. Approximately 25 percent of full-time continuing employees gave to Carleton over the course of the campaign.

Donors established 404 new scholarships and bursaries and contributed more than \$3.5 million in philanthropic funds for research projects.

More than \$17 million of the campaign total was raised through annual giving (gifts under \$10,000). This includes most gifts to FutureFunder projects, Giving Tuesday contributions, direct mail response and gifts made through the student-staffed phone program. Of the campaign total, more than \$67 million had been pledged through planned and estate giving.

Crowdfunding was a significant component of the campaign strategy. Through the award-winning FutureFunder platform (and accompanying Giving Tuesday campaigns), students, faculty, staff and alumni were able to lead fundraising initiatives for personal and specific projects. Over the course of the campaign, more than 191 FutureFunder projects launched.

Much crowdfunding was focused around Giving Tuesday — an enormously successful initiative for Carleton. In 2013 (year one), crowdfunding raised \$48,000 (with matching) in 24 hours; in 2018, the total was more than \$1.2 million (with matching).

To maximize impact, Carleton announced that the campaign goal had been surpassed in a staggered fashion, starting with internal announcements on Feb. 11. On Feb. 12, President Benoit-Antoine Bacon announced the news to attendees of the Mayor's Breakfast and a news release was posted on the Carleton homepage. Chief advancement officer Jennifer Conley was interviewed on CBC's All in a Day broadcast.

On Feb. 14, Advancement organized an on-campus awareness initiative and social media campaign. The Ottawa Ice Carvers' Society created three ice sculptures with the campaign's "Here for Good" logo and other subjects.

A weekly "Thank You Thursday" initiative published online stories detailing specific campaign outcomes and accomplishments. The stories were linked through the Top 5 email newsletter and promoted through social media.

Throughout February, March and April, news was shared with individual donors, alumni and community groups at targeted events, luncheons and meetings.

On March 28, Advancement hosted a campus celebration for faculty, staff and students, who visited a showcase of community-led FutureFunder campaigns.

The final Campaign Celebration was held on April 17. Donors, the university community, alumni and other external partners were invited to Richcraft Hall to learn about campaign achievements, read stories of top campaign champions, and network with other supporters. Further public promotion (advertising, media) will follow.

REPUTATIONAL AND COMMUNITY HIGHLIGHTS



Minister McKenna Highlights Support for Sustainability

Catherine McKenna, Canada's Minister of Environment and Climate Change and the MP for Ottawa Centre, the riding that Carleton is located in, came to campus on April 5 to announce nearly \$400,000 in funding for three energy efficiency and climate change projects, and to highlight federal government support for energy efficiency and climate change adaptation. President Bacon, who introduced the minister, talked about Carleton's leadership on the sustainability front, including infrastructure improvements, research and experiential learning opportunities for students.



Celebration of Life for Pius Adesanmi

Family, friends, Carleton faculty and members of Ottawa's African diplomatic community praised Prof. Pius Adesanmi through tributes, poetry, drumming and singing at a celebration of life at the Carleton Dominion-Chalmers Centre on March 26. Adesanmi, who died in a plane crash in Ethiopia on March 10, was director of Carleton's Institute of African Studies. "You must know that where I come from in Africa, death is no finality," graduate student Kagiso Lesego Molope said at the memorial, quoting from Adesanmi's book *You're Not a Country, Africa*. "I merely transitioned to ancestorhood in the worldview of my people."



Minister Cho Celebrates Accessibility at Carleton

Raymond Cho, Ontario's Minister for Seniors and Accessibility, delivered keynote remarks in the University Centre galleria on April 1 at a celebration honouring the more than 1,800 students who volunteer at Carleton's Paul Menton Centre for Students with Disabilities. After calling Carleton "Canada's number one accessible university," Minister Cho praised the dozens of volunteers in attendance. "You can change the world," he said. "Each one of you, you have unlimited potential. We need you to help change the world for the better."



Big Interest in Big Data

Data Day 6.0 — the sixth annual conference at Carleton designed to promote collaboration and celebrate the latest development in data science and analytics research — drew record attendance on March 26. Speakers included Anil Arora, Canada's Chief Statistician, and President Bacon, who co-signed a memorandum of understanding to certify an already longstanding partnership between the university and Statistics Canada. "Business and government are all looking for top data scientists," said President Bacon, "and at Carleton we're addressing that skill shortage by developing courses and programs that fit that gap, so that our graduates are particularly well-trained in that crucial area."



Partnering with the Ottawa Symphony Orchestra at Dominion-Chalmers

An Ottawa Symphony Orchestra (OSO) concert at the Carleton Dominion-Chalmers Centre on April 1 — the OSO's first in the facility — celebrated a new partnership between Carleton and the orchestra that will lead to experiential learning and development opportunities for Carleton students by way of internships, placements and hands-on experiences. "It's our utmost privilege to host the orchestra on our beautifully renovated stage this evening," President Bacon said before the performance. "Working together will further enhance arts, culture and learning in the city, enriching both its cultural fabric and the lives of all citizens." On that occasion, it was also announced that Mara Brown has been named director of the Carleton Dominion-Chalmers Centre, effective April 15. Brown joins Carleton with an impressive professional track record, having most recently worked as the senior operations manager for Toronto's Tafelmusik Baroque Orchestra and Chamber Choir.

FPA Research Month

From Feb. 24 to March 24, the Faculty of Public Affairs hosted FPA Research Month. The month included a series of public lectures, research symposia and panel discussions. Highlights included a lecture by Carleton's Chancellor and former Treasury Board Secretary Yaprak Baltacioğlu and the Dick, Ruth and Judy Bell Lecture with Senator Kim Pate.

Reducing the Stigma of Substance Abuse

Words matter, and the media play a powerful role in shaping perceptions, a group of panelists agreed during a discussion at Carleton on March 21 about the impact of stigma on Canada's opioid crisis. Organized by Health Canada, the panel featured: Dr. Supriya Sharma, the senior medical advisor to the deputy minister of Health Canada; Carleton Sociology master's student Charlotte Smith; Rob Boyd, Oasis Program director at the Sandy Hill Community Centre, home to Ottawa's first permanent supervised safe injection site; and Ottawa Deputy Police Chief Uday Singh Jaswal. It was introduced by President Bacon and moderated by Prof. Sarah Everts, Carleton's CTV Chair in Digital Science Journalism.

Celebrating Outstanding Women Faculty on International Women's Day

A balanced world is a better world, and celebrating the achievements of women is a step toward a more gender-balanced world. That's one of the messages shared on the website of International Women's Day, which is held annually on March 8 and was marked at Carleton with a homepage article highlighting the work and accomplishments of 10 outstanding women faculty members, a small cross-section of the hundreds of women whose research, teaching and leadership contribute to the campus and community year-round.

An Ongoing Basketball Dynasty

After leading the Carleton Ravens men's basketball team to 14 national championships over the last 17 seasons, including this year's title, Dave Smart has accepted the position of Director, Basketball Operations at Carleton and will be responsible for developing both the men's and women's basketball programs and continuing to build a culture of sport excellence. Taffe Charles, who led the Ravens women's basketball team to its first national title in 2018, will take over head coaching responsibilities for the men's team. The university has launched a national search for a new head coach for the women's basketball program.

2019 Reputation Research Report

The first comprehensive study of public perceptions of Carleton in more than a decade is under way. The main goal of the project is to collect data from a variety of sources that will inform the renewal of the university's Strategic Integrated Plan. The data will also be the basis of an examination of Carleton's brand in 2019 and beyond. The Strategic Counsel, one of Canada's leading market-research firms, has held a series of interviews and focus groups with internal stakeholders. Next steps include interviews with opinion leaders from all three levels of government, post-secondary leaders, local business representatives, Ottawa-area school board guidance counsellors and external consultants.





ACADEMICS

New programs

Three new graduate programs in the School of Linguistics and Language Studies have been approved by Carleton's Quality Council and are currently under review by Ontario's Ministry of Training, Colleges and Universities: an MA in Linguistics, a concurrent (Type 2) Graduate Diploma in Linguistics, and a PhD in Linguistics, Language Documentation and Revitalization. The new programs will reflect the evolution of linguistics from a theoretical model of linguistic knowledge to an interdisciplinary field concerned with language in cognitive and social domains.

An innovative interdisciplinary Master of Arts and graduate diploma in Migration and Diaspora Studies has also been approved. This will be the first program in Canada to combine Migration Studies and Diaspora Studies in one master's degree program, and one of the few internationally to do so. Carleton's Migration and Diaspora Studies Initiative focuses on the social, economic, cultural and political implications of the movement and transnational settlement of people.

Experiential Learning Fund

Launched by the Office of the Provost and Vice-President (Academic) in October 2018, the \$50,000 Carleton University Experiential Learning Fund provides faculty, instructors and learning support staff with financial support to integrate experiential learning components into academic courses or programs at Carleton. In February 2019, seven faculty were awarded funding to develop or enhance course or program level initiatives with experiential learning components.

For example: Profs. Matthew Sorley, Cheryl Harasymchuk and Anne Bowker (Psychology) are developing experiential learning modules that can be integrated into any first-year seminar offered by the Faculty of Arts and Social Sciences; Prof. Julia Wallace (Physics) is introducing a new experiential learning component to her third-year modern physics course, where students will undertake a six-hour hands-on experiential learning activity at the Ionizing Radiation Standards Lab of the National Research Council in Ottawa; Prof. Melissa Frankel (Philosophy) is developing a new fourth-year seminar where students will consider the philosophy of education and survey specific approaches for teaching philosophy with various age groups. Students will then lead philosophical discussions with students at a local elementary school.

Courage, Curiosity, Teapots and Snakes: Stories of Teaching at Carleton University is a collection of 67 short stories of teaching and learning from the perspective of Carleton's faculty members, contract instructors and teaching staff. The book was launched in February 2019 and is available for sale through the Carleton Bookstore.

Carleton is undertaking a formal **review of Carleton's Learning Management System** (cuLearn) and ecosystem of educational technology tools to determine how to best meet the both current and future teaching and learning needs of the institution. This review includes substantial consultation with stakeholders, including students, faculty, contract instructors, teaching assistants and staff members.

The **Carleton University Achievement Awards** recipients were announced in February 2019:

- Teaching Achievement Award: Jeff Dawson and Andy Adler, Cheryl Harasymchuk, Kahente Horn-Miller, Michael Windover and Peter Coffman, Benjamin Woo
- Professional Achievement Award: Martha Attridge Bufton, Erika Banski, Robert Collier, Erica Fraser, Kim Helleman, Marylynn Steckley, Nigel Waltho
- Contract Instructor Teaching Award: Robert Helal, Gerardo Kanter, Tiffany MacLellan, Zahra Montazeri, Hugh Reid
- Contract Instructor Teaching Innovation Grant: Milica Stojmenovic
- Research Achievement Award: Peter Andr  e, Onita Basu, Mark Boulay, Sarah Casteel, Robert Coplan, Angela Dionisi, Burak Gunay, Rowan Thomson, Matt Webb, Alex Wong

RESEARCH AND INNOVATION

Multidisciplinary Research Catalyst Fund

Carleton has strong research core strength in discipline-based areas such as Particle Physics, Public Policy, Aerospace and Forensic Psychology. Perhaps even more importantly, Carleton also has extraordinary research strength distributed across multiple faculties. For example, researchers from all five faculties work on “Big Data” applied to their own disciplines. As granting agencies are initiating new programs to support multidisciplinary research (e.g., the New Frontiers in Research Fund), Carleton must capitalize on these multidisciplinary strengths.

To be ready for these new external funding opportunities, to encourage Carleton researchers to collaborate, and to ensure that the university promotes its multidisciplinary research, the Office of the Vice-President (Research and International) has launched an internal competition: The Multidisciplinary Research Catalyst Fund. This initiative provides resources and support to enable multidisciplinary research teams to achieve a demonstrable increase in research impacts that go beyond individual researchers. These multidisciplinary research teams address important challenges that society faces and have a potential to achieve transformative outcomes in terms of impact on society, potential to generate economic development, and benefit to Canada.

Carleton received 31 applications for the program from all faculties. The calibre of the proposals was inspirational and demonstrate the strength of the university’s research collaborations. Of the 31 applications, 10 will be funded at the full amount of \$50,000 and a further nine applications will receive partial funding to initiate some of their proposed activities. The funded proposals are in the areas of accessibility, workplaces of the future, migration policy, connected autonomous vehicles, digital tools for global endangered languages, urban futures, a carbon-free future, the economic future of work and labour transitions, aging autonomy, and future telecommunications.

An interdisciplinary group of Carleton researchers has received \$1,100,000 from the Foundations for Innovation Program of the International Development Research Centre. The group is led by **Bjarki Hallgrímsson**, director of the School of Industrial Design, and **Dominique Marshall**, chair of the Department of History. It will manage and co-ordinate calls for gender inclusive technological design in science, technology, engineering, arts and math projects in low- and middle-income countries.

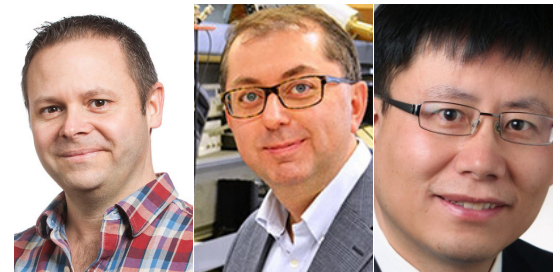
Richard Ernst, a Scientist-in-Residence in Carleton’s Department of Earth Sciences, has received \$600,000 from the Natural Sciences and Engineering Research Council of Canada as part of the Collaborative Research and Development grants for his research on huge volcanic events. This funding is in addition to the \$300,000 Ernst has received from three sponsors: Anglo American/De Beers, First Quantum Minerals and Rio Tinto.

In January, Engineering Prof. **Halim Yanikomeroglu** was named as a fellow of the Engineering Institute of Canada to honour a lifetime of dedication and contributions to engineering in Canada. Yanikomeroglu is an internationally renowned expert in wireless communications. In 2018, he received the IEEE Communications Society Wireless Communications Technical Committee Recognition Award, and in 2017 he was named as a Fellow of the IEEE.

Engineering Prof. **Peter Liu** was recognized as an IEEE Fellow for his contributions to system identification and networked teleoperation. The IEEE Fellow is a distinction reserved for select members who display “an extraordinary record of accomplishments in any of the IEEE fields of interest.”

Carleton researchers **Joseph Bennett** and **Steven Cooke** are leading a partnership with Environment and Climate Change Canada on a new initiative to tackle the global biodiversity crisis. The collaboration will develop techniques to better characterize interacting threats, and will explore the benefits of data sharing and synthesis to help improve biodiversity conservation.

Associate Vice-President (Teaching and Learning) **David Hornsby** was elected Vice-President of the International Studies Association’s governing council for 2020-2021.



NEW BUILDINGS AND INFRASTRUCTURE



Several major construction projects at Carleton will wrap up in 2019-2020. Once completed, these buildings will enhance the university's ability to attract world-class researchers, form strategic third-party partnerships, offer a state-of-the-art business school and have upgraded infrastructure in place to handle the additional energy demands on the campus heating plant. Capital projects totalling \$212.8 million are currently under way.

Health Sciences Building

Occupancy of this spectacular \$52-million research and teaching facility took place in December 2017, with floors one, two, three and five completed. The vivarium on the seventh floor is now 99 percent complete, with certification expected shortly and occupancy planned for fall 2019. The fit-up of floors four and six is ongoing as the original design left these two floors unfinished to allow for future program growth. Project completion is scheduled for summer 2019.



Advanced Research and Innovation in Smart Environments (ARISE) Building

The ARISE Building was substantially completed in November 2018. Phase 2 is now underway and includes the fit-up of the facility at a cost of \$8.5 million to be completed in summer of 2019. Future occupancy will support strategic priorities regarding research and economic development in the fields of Clean Technology, Health Technology, and Information and Communication Technology.

Co-generation Facility

Construction of this \$25-million project (\$5 million was funded through an Ottawa Hydro incentive program) better equips Carleton for the building growth on campus that has resulted in increased burdens on the existing steam plant and electrical service capacities of the heating plant. This project expands the heating plant to accommodate the installation of a combined heat and power (co-generation) system to support increasing needs in the most economical manner. Completion is expected in fall 2019.



Nicol Building (Sprott School of Business)

The work on the \$65.1-million Nicol Building is progressing as per the approved schedule, with anticipated completion in fall 2020. In early April 2019, the third-floor slab was poured. The 100,000-square-foot building will include public assembly space, electronic and interactive classrooms of various sizes, student resource rooms, office space, space for entrepreneurial programming and shell space to accommodate future program growth. This project is funded, in part, from a \$10-million donation from the Nicol family. This facility represents a unique opportunity for the Sprott School of Business to enhance its visibility and brand.



SEXUAL VIOLENCE EDUCATION, PREVENTION AND RESPONSE

Since January 2018, more than **5,000 members of the campus community received sexual violence response training**, including specialized training for varsity athletes, Campus Safety Services officers and Fall Orientation leaders. This training encompassed more than 125 hours of workshops and brings the total number of trained members of the Carleton community to 8,000 since August 2017.

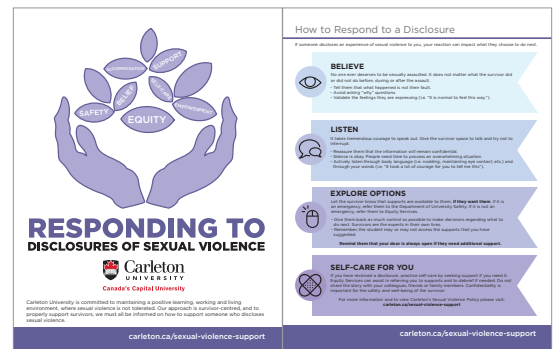
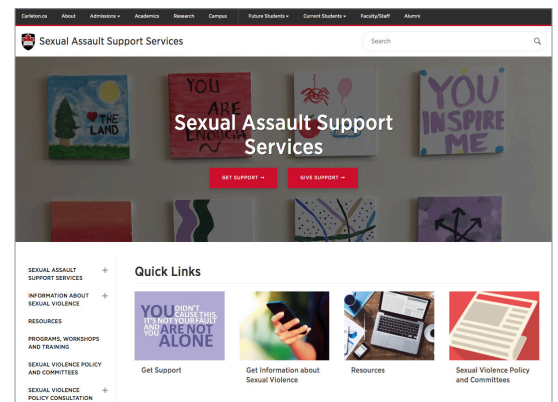
Carleton continue to enhance its communications regarding the education and prevention of sexual violence. Equity Services maintains a **stand-alone website outlining sexual violence support and sexual assault services** (carleton.ca/sexual-violence-support). Information regarding sexual violence support, including how to disclose an experience of sexual violence in both an emergency and a non-emergency situation, is highlighted on the Current Student website, the MyCarleton Portal and in the Carleton Mobile app.

In order to educate Carleton's community about supporting survivors of sexual violence, the OVPSE and Equity Services have developed, and continue to develop, print and online collateral for faculty, staff and students with input from the Sexual Violence Prevention and Education Committee. In September 2018, all faculty and staff received the **Responding to Disclosures of Sexual Violence reference document** as part of the Supporting our Students package, which includes advice on how to handle a disclosure of sexual violence, as well as information and resources for survivors. This was also provided to all faculty and staff when it was first created in January 2018 and is used in all Sexual Violence Prevention and Response Training sessions.

In April 2019, the Sexual Violence Prevention and Education Committee (SVPEC) will be tasked with **implementing the Campus Sexual Violence Prevention Strategy**. Many of the feedback items identified throughout the extensive consultation and review of Carleton's Sexual Violence Policy over the past nine months were used in the creation of this strategy, which is a living document.

Carleton remains committed to maintaining a positive learning, working and living environment where sexual violence is not tolerated. The university encourages all students, staff and faculty who experience any form of sexual violence to contact the **Carleton Sexual Assault Support Centre** at (613) 520-5622 or by visiting the office in room 3800 CTC Building.

As part of a **recent government announcement** on March 19, 2019, Minister Fullerton unveiled four immediate actions for universities to undertake to protect students and address the serious issue of sexual violence affecting post-secondary students. These elements, including a review of the sexual violence policy and annual reporting to the Board of Governors, are already in place at Carleton. The university also established a Sexual Violence Prevention and Education Committee (SVPEC) with a task force mandate to create a campus atmosphere in which sexual violence is not tolerated. Carleton looks forward to using the announced increase of investment in the Women's Campus Safety Grant to provide additional intersectional, innovative and individualized supports for everyone on campus.



ENROLMENT AND RECRUITMENT UPDATE

All Applicants			
First Year, New, Approvals and Confirmations (Carleton Data) as of April 3, 2019 – All Applicants			
	Applicants	Approved	Confirmed
2018	23,169	11,289	1,499
2019	23,614	13,222	1,647
% Change	+1.9%	+17.1%	+9.9%

Domestic Applicants			
First Year, New, Approvals and Confirmations (Carleton Data) matched to April 3, 2019			
	Applicants	Approved	Confirmed
2018	16,483	9,522	1,285
2019	16,828	10,786	1,325
% Change	+2.1	+13.3	+3.1

International Applicants			
First Year, New, Approvals and Confirmations (Carleton Data) matched to April 3, 2019			
	Applicants	Approved	Confirmed
2018	6,686	1,767	214
2019	6,786	2,436	322
% Change	+1.5%	+37.9%	+50.5%

101 (Ontario High School) Applicants			
First Year, New, Approvals and Confirmations (Carleton Data) as of April 3, 2019			
	Applicants	Approved	Confirmed
2018	14,809	8,960	961
2019	15,449	9,993	993
% Change	+4.3%	+11.5%	+3.3%

Ontario Statistics

First Year 101 (Ontario High School) Applications by University			
April 3, 2019 vs. April 4, 2018 (OUAC Data)			
	2018	2019	% Change
Carleton 1st Choice	4,159	4,313	+3.7%
Carleton Total Applications	19,755	20,957	+6.1%
System 1st choice	89,785	91,863	+2.3%

Close to 2,600 prospective students and their families participated in March Break Open House events and campus tours this year. Carleton is currently planning its Spring Open House on May 11, 2019 for students who have received offers of admission. The Spring Open House will feature the student experience and student services.

Recruitment officers visited 12 college campuses in the winter term to meet with prospective students currently studying in Ontario colleges. New this year, Carleton offered two online live chat sessions with prospective college students on Feb. 25 and 28, 2019, coinciding with winter breaks at Ontario colleges.

Recruitment officers will be visiting multiple cities in California, Connecticut, Maine, Maryland, Massachusetts, New Hampshire, Virginia and Vermont throughout April. They will also be participating in an International Education Fair in Vancouver.

Carleton will host the Ontario Universities' Guidance Dialogues on May 3, 2019. Guidance counsellors from across Ontario will visit campus to meet with undergraduate recruitment representatives from all of the Ontario universities.