

CONSENT AGENDA
to the Open Agenda of the 617th Meeting of the Board of Governors

Monday, September 30th, 2019
Room 2440R River Building, Carleton University

4.1 ITEM(S) FOR APPROVAL

- 4.1.1 Approval of minutes of the previous meeting and Business arising from the Minutes**
- 4.1.2 Approval of Members on the Vice-President (Students and Enrolment) Review Committee**
- 4.1.3 Approval of the Academic Colleague and Alumni Representative on Senate**
- 4.1.4 Board Award Criteria and Jury Selection**

4.2 ITEM(S) FOR INFORMATION

- 4.2.1 Committee Minutes**
 - a) Community Relations and Advancement Committee
 - 110th Meeting – April 10, 2019
 - b) Building Program Committee
 - 157th Meeting – May 16, 2019
 - c) Finance Committee
 - 297th Meeting, April 11, 2019
 - d) Governance Committee
 - 41st Meeting, May 16, 2019
- 4.2.2 Risk Management Framework**
- 4.2.3 Students and Administrative Staff Governor Handbook and Election Process**
- 4.2.4 Board Work Plan and Schedule of Meetings**
- 4.2.5 Minutes of Senate**
 - Approved Minutes from June 2019



Canada's Capital University

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

**Minutes of the 616th Meeting of the
Board of Governors**

**Thursday, June 27, 2019 at 3:00 p.m.
Room 2440R Richcraft Hall, Carleton University**

PRESENT:	Ms. D. Alves Ms. T. Arnt Dr. B.A. Bacon Dr. C. Carruthers Mr. D. Craig Ms. B. Creary Mr. J. Durrell Mr. K. Evans Mr. G. Farrell	Mr. K. von Finckenstein Mr. D. Fortin (Vice-Chair) Ms. G. Garland Ms. C. Gold Ms. L. Honsberger Ms. N. Karhu Mr. O. Javanpour (phone) Dr. I. Lee Dr. J. Malloy	Mr. N. Nanos (Chair) Ms. Y. Osagie Dr. E. Sloan Dr. P. Smith Ms. A. Spiwak Mr. A. Ullett Mr. B. Wener Ms. E. Wohlbold
REGRETS:	Ms. Y. Baltacioğlu Ms. G. Courtland	Mr. P. Dinsdale	Dr. P. Merchant
STAFF:	Ms. S. Blanchard Ms. J. Conley Mr. D. Cumming	Ms. A. Goth (R. Secretary) Mr. S. Levitt Mr. M. Piché	Dr. R. Goubran Dr. J. Tomberlin
GUESTS:	Dr. B. Appel Kuzmarov Mr. P. Bellegarde Dr. L. Dyke	Ms. I. Jama Dr. K. Horn-Miller	Dr. S. Phillips Ms. C. Taylor

OPEN SESSION

1. CALL TO ORDER AND CHAIR'S REMARKS

The Chair called the meeting to order at 3:02 pm. All attendees, guests and observers were welcomed to the meeting.

2. DECLARATION OF CONFLICT OF INTEREST

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

3. APPROVAL OF AGENDA

The proposed agenda was circulated in advance.

It was moved by Mr. Craig, and seconded by Dr. Malloy, that the open agenda of the 616th meeting of the Board of Governors be approved, as presented. The motion carried.

4. APPROVAL OF THE CONSENT AGENDA

The following items were circulated in the open consent agenda for approval: Minutes of the previous meeting and standing committee terms of reference.

The following items were circulated in the open consent agenda for information: Minutes from the Building and Governance committees, environmental health and safety report, sustainability annual report 2018/2019, cyclical review program summary for 2018/19 and Minutes from March and April Senate Meetings.

Mr. Wener moved, and it was seconded by Ms. Honsberger, that the items in the open consent agenda be approved, as presented. The motion carried.

5. PRESENTATION

Mr. Perry Bellegarde, National Chief of the Assembly of First Nations was introduced to the Board of Governors. Mr. Bellegarde discussed the Truth and Reconciliation Commission of Canada: Calls to Action and how Carleton can create initiatives to assist in reconciliation. Primarily, the university was encouraged to focus on:

- a. producing Indigenous focused programs for recruitment,
- b. creating a larger and multi-purpose Indigenous centre, and
- c. including more people from the Indigenous community in the governance and decision-making processes.

From a curriculum standpoint, Mr. Bellegarde stated the importance of educating Carleton students on the history of Indigenous people and treaties, the concept of restorative justice to combat the overrepresented Indigenous population in prison, and Indigenous law and culture.

In closing, Mr. Bellegarde stated that Carleton investing in reconciliation would be a positive step towards closing the gap in the quality of life between the Indigenous community and the rest of country. Mr. Bellegarde stressed that education is the most important tool in reconciliation for the Indigenous community.

Mr. Bellegarde was thanked for his presentation and a donation was made in his name to Carleton Fund for Good. Mr. Bellegarde left the meeting.

6. ITEM(S) FOR DISCUSSION

6.1 Carleton University Indigenous Strategic Initiatives Committee Consultation

An executive summary and presentation were circulated in advance. The Carleton University Indigenous Strategic Initiatives Committee Consultation (CUISIC) was established in Fall 2018 with three co-chairs: The Provost and Vice-President, Dr. Jerry Tomberlin, Associate Professor in the School of Indigenous and Canadian Studies, Dr. Kahente Horn Miller, and Assistant Director of Equity Services, and Responsible for the Centre for Indigenous Initiatives, Benny Michaud.

CUISIC was created to revitalize Carleton's strategy and enhance the relationship with the Indigenous community both on and off campus. The overarching goals of this consultation are rooted in the Truth and Reconciliation Commission, and are aimed to change attitudes at an institutional level. Since CUISIC began, over 30 consultations have taken place at Carleton thus far.

A number of consultation questions were posed to the Board of Governors and governors were asked to provide their suggestions. Provide suggestions included:

- Board members receiving training on Indigenous issues, language and cultures;
- Board monitoring the implementation of recommendations made from CUISIC;
- Ensuring the proper budget and resources are allocated to Indigenous initiatives;
- Consulting experts for Indigenous perspectives and/or having Indigenous board members;
- Ensuring the Indigenous community is involved in the decision-making processes at Carleton.
- Potentially including Indigenous flags alongside the flags in the atrium of the University Centre;
- Possibly having an Indigenous specific orientation for Indigenous students and families;
- Possibly expanding the Ojigkwanong Centre so there are dedicated spaces for socializing, meeting with elders, etc.

The possibility of an Indigenous senior management position was raised by Dr. Horn-Miller. This individual would be tasked with assisting with the administrative burdens currently undertaken by Indigenous faculty members on indigenous issues and offer support to major strategic initiatives occurring at the University to ensure there is an Indigenous focus. Currently, there is precedent for this type of position at other Canadian universities.

CUISIC is conducting consultation and developing a strategy including determining areas of need for Indigenous faculty, students and staff. One initiative that is moving forward is the recruitment of ten Indigenous faculty members. The Board was advised that it is a competitive market for Indigenous faculty. Therefore, the University needs to ensure the campus is an attractive and supportive location for these potential faculty.

It was recommended that the Board Chair conduct exit interviews with Indigenous board members upon retirement to acquire useful feedback for the Board. Dr. Horn-Miller stated she has already adopted this practice with Indigenous faculty members when they decide to leave Carleton.

Dr. Horn-Miller was thanked for her consultation, and all the hard work she has put into this strategy thus far. Dr. Horn-Miller left the meeting.

7. ITEMS FOR APPROVAL

7.1 Board Equity, Diversity and Inclusion Statement

A draft statement was circulated in advance. The Board Chair, Mr. Nanos introduced the item. The statement was drafted with the assistance of Ikram Jama, former Acting Director of Equity Services, Michael Charles, the current Director of Equity Services, and Steve Levitt, General Counsel. Mr. Nanos stated that the 2019/20 Carleton Board of Governors has achieved gender parity, with 56% of the members being women.

A question was posed surrounding the Employment Equity Program versus the Board Equity, Diversity and Inclusion Statement. Ms. Jama clarified that the Employment Equity Program includes four designations: Women, Indigenous Persons, Visible Minorities, and Persons with disabilities and is based on a federal contracting requirement which is not applicable to Board. However, the Board statement lists these four groups as well as Sexual Orientation, Gender Identity and Expression. Ms. Jama stated that the Ontario Human Rights Code was used as the basis for the statement which includes a few more recognized categories than the Carleton Employment Equity Program. It was also noted that the phrase “including, but not limited to” was included to ensure no categories were left out.

Ms. Spiwak moved, and it was seconded by Ms. Karhu, to approve the Board Equity, Diversity and Inclusion Statement, as presented. The motion carried.

8. ITEMS FOR INFORMATION

8.1 Senate Annual Report

A report entitled *Senate Report to the Board July 1, 2018 – June 30, 2019* was circulated in advance. The President, Dr. Benoit-Antoine Bacon introduced this item and the Clerk of Senate, Dr. Betina Appel Kuzmarov.

Dr. Kuzmarov outlined that the Senate is the academic head of the university, responsible for the approval of academic calendars, new programs, courses, or faculties, scholarships, bursaries, and more. Dr. Kuzmarov described the Senate's accomplishments from the past year including an internal review of committee structures, the creation of the Provincial Government's mandated Free Speech Policy, graduating over 6,000 students, awarding seven Honourary Doctorates, and completing the installation of both the new President and Chancellor.

Board members inquired about the process for new program creation. Dr. Lorraine Dyke, Deputy Provost (Academic Operations and Planning) outlined that a new program must demonstrate alignment with the strategic objectives of the university. A full financial assessment and proposal is developed, as well as an external reviewer and the Provincial Government are consulted. Once this process is done, the new program goes through approval at Senate committees and Senate before the Ministry of Training Colleges, and Universities officially approves funding.

Both Dr. Appel Kuzmarov and Dr. Dyke were thanked for their presentations.

8.2 Campaign Completion Report

A pamphlet – *Here for Good Celebrating Impact*, a report – *Lessons Learned: Outcomes of the Collaborate Campaign* and a briefing entitled *Creating the national Centre for Research in Canadian Philanthropy, Nonprofits and Social Enterprise* was circulated in advance.

Ms. Jennifer Conley, Chief Advancement Officer provided a report on the lessons learned throughout the entirety of the campaign. The *Collaborate Campaign* used a modern approach to giving and philanthropy, meaning there were no standard gifts. Therefore, the advancement team built their capacity while continuing to best serve their donors. Ms. Conley expressed gratitude to the Board of Governors for allowing her team to experiment with ideas and techniques as well as for approving matching funds. Currently, there is still approximately \$8 million left out of the \$10 million permitted for matching Endowed Student Aid. Ms. Conley advised that the slogan and ethos created by "*Here for Good*" was an accomplishment and that the momentum felt through the campaign will continue in the future, especially with the creation of the Masters program in Philanthropy and Non-profit Leadership. The future vision of the program is to create a Philanthropic Research centre on campus. To speak to these topics, Ms. Conley introduced Dr. Susan Phillips.

Dr. Phillips, from the Carleton School of Public Policy and Administration, created the Masters in Philanthropy and Non-profit Leadership. Currently, it is the only program of its kind in Canada, making Carleton a leader and "go-to" resource for those seeking information in Philanthropy. As of now, there are roughly 137 graduates of this degree. Dr. Phillips described creating Canada's first Philanthropic research centre, which will further Carleton's excellence within this field. This centre would aim to conduct meaningful research to increase the success and effectiveness of philanthropic campaigns. As of now, the approximate cost to create this centre is \$30 million.

Both Ms. Conley and Dr. Phillips were thanked for their presentations.

8.3 Report from the Chair

The Board of Governors Chair's Report 2018/19 was circulated in advance. Mr. Nik Nanos acknowledged Ms. Barbara Wells, who had recently passed away. Ms. Wells was a dedicated employee of Carleton for many years, and will be greatly missed by the entire community.

Mr. Nanos thanked all of the Board of Governors members who assisted in making June Convocation a success, especially with the installation of the new Chancellor: Yaprak Baltacioğlu. Mr. Bob Wener was also thanked for presenting the Board Award to Frohan Foroutan on behalf of the Board of Governors.

A special thanks was given to all of the retiring Board of Governors members: Mr. Dale Craig, Mr. Bob Wener, Dr. Ian Lee, Ms. Alaine Spiwak, Ms. Elise Wohlbald, Dr. Pradeep Merchant, Mr. Peter Dinsdale, Ms. Yvonne Osagie, Mr. Jay Nordenstrom, Ms. Lesley Watson, and Ms. Gina Courtland.

8.4 Report from the President

The *Carleton U President's Report 2019* was circulated in advance. Dr. Benoit-Antoine Bacon first acknowledged the success of June convocation. In total, there were 4,800 graduates, and seven Honouray Doctorates awarded. The installation of Yaprak Baltacioğlu was a huge success, with many of the students responding to her personal story and success.

Over the course of the 2018/19 academic year, Carleton appointed 20 new individuals in management and leadership roles. Additionally, enrolment and research funding have increased, 4% and 25% respectively. Other achievements included: the creation of the Canadian Accessibility Network, the closing of a \$300 million campaign, and the acquisition of Dominion Chalmers Church.

Dr. Bacon outlined the process for the creation of the Strategic Plan over 2019/20. The President outlined the success of the *Collaboration, Leadership and Resilience* Strategic Integrated plan which was student orientated and focused on teaching, research, organizational excellence. In the future, he outlined that it is imperative that Carleton maintain a slight growth in enrolment each year, as well as research funding. As of now, Carleton is considered a leader within the fields of employability for new graduates, accessibility (READ and David C. Onley initiatives), and sustainability (Carleton ranked second in Canada for greenest campus). The future strategic plan should include a more comprehensive strategy for both international students and Indigenous reconciliation, the intensification of the Here for Good ethos, increased research leadership, and alternative revenue streams independent of government funding.

To lead the creation of the new strategic plan, Dr. Bacon introduced the four co-chairs of the committee, Dr. Lorraine Dyke, Deputy Provost (Academic Operations and Planning), Ms. Cindy Taylor, Assistant Vice-President (Human Resources), Dr. Patrice Smith, Dean of the Faculty of Graduate and Postdoctoral Affairs, and Dr. Betina Appel Kuzmarov, Clerk of Senate.

Dr. Dyke presented a framework for the creation of the Strategic Plan. The process will include a task force of 12-15 people and will feature a speaker series. The taskforce will be made up of people from the Carleton community and an open call has begun for participation. The speaker series will include experts on the future of post-secondary education to assist the taskforce in identifying possible trends for consideration. Additionally, there will be a website created where anyone can submit advice or feedback to the co-chairs. This initiative will be launched in September, and it is hoped a plan will come forward for approval by Senate in May and approval by the Board of Governors in June 2020.

The Board of Governors inquired how the co-chairs can ensure the taskforce that will be encompassing of the whole campus community. Dr. Dyke stated that they will be asking for input from everyone on campus as to ensure a diverse set of opinions are considered.

8.5 Committee Chair Updates

a) Building Program Committee

Mr. Dale Craig, Chair of the Building Program Committee provided an update on the committee's May 16th, 2019 meeting. The committee received the annual Environmental Health and Safety report. This report offered many promising statistics evidencing a strong safety culture on campus.

The committee also received a presentation and report from Philip Mansfield, the Manager of Sustainability Programs. The committee was pleased to hear that Carleton is the second most sustainable campus in Canada. The Board suggested finding a way to better brand the University to celebrate both the beauty and sustainability on campus.

Mr. Craig provided highlights of the transportation report reviewed by the committee, where it was determined that 61% of the Carleton community travels by transit, while 10% cycle or walk. A transportation working group has been established to monitor the upcoming transportation issues and communications will be a primary focus of the committee in the coming months.

The committee also received a report on Major Projects and Deferred Maintenance and Minor Construction. Currently, the Health Science Building is on schedule, with the animals being expected to return by Fall 2019. Due to complicated construction, the Nicol Building is four weeks behind schedule.

Mr. Dale Craig thanked for his service on the Board of Governors and as Chair of the Building Program Committee over the last three years.

b) Community Relations and Advancement Committee.

Mr. Dan Fortin, Chair of the Community Relations and Advancement Committee stated that the committee had not met since the previous Board of Governors meeting, leaving nothing to report at this time.

c) Finance Committee

Mr. Bob Wener, Chair of the Finance Committee stated that the committee had not met since the previous Board of Governors meeting. Mr. Wener advised that the 2018/19 fiscal year is closed, and a surplus is projected, the allocation of which will come forward to the Board of Governors in Fall 2019. Additionally, Mr. Wener stated that all major construction projects remain on budget.

A question was posed regarding the OSAP program changes. Ms. Suzanne Blanchard, Vice-President (Students and Enrolment) stated that Carleton is responsible for the Student Access Guarantee, which will increase bursaries to assist those impacted by a decrease in OSAP funding. Additionally, Carleton staff has been working with students to ensure all of their OSAP forms are filled out correctly.

Mr. Bob Wener thanked for his service on the Board of Governors and as Chair of the Finance and Audit Committees over the last three years.

d) Governance Committee

Mr. Ken Evans, Chair of the Governance Committee provided an update from the May 16th, 2019 meeting. The committee reviewed best practices for committee restructuring, as well as reducing the number of committees. As a result of this process, the Nominating and Governance committees will merge for the 2019/20 academic year, and the Advancement and University Relations Committee (formerly known as the Community Relations and Advancement Committee) will provide strategic oversight for Advancement and Communications.

9. OPEN- OTHER BUSINESS

The Vice-Chair, Mr. Dan Fortin, introduced a motion to include “Indigenous communities” in item 1a) of the Terms of Reference of the Advancement University Relations Committee. As a result of the discussion at the beginning of the meeting, Mr. Fortin felt as if it was important to highlight the Indigenous community in the Terms of Reference.

It was moved by Mr. Fortin and seconded by Mr. Evans to amend the Advancement and University Relations Committee Terms of Reference, Key Overarching Objectives, Relationship development, Item 1a to read: “Provide strategic oversight and assistance with respect to the University’s community engagement, including but not limited to its Indigenous communities to support its academic and operational objectives and ensure that its reputation is maintained and enhanced. The motion carried with five opposed and one abstention.

10. OPEN-QUESTION PERIOD

There were no other questions.

11. END OF OPEN SESSION AND BRIEF NETWORKING BREAK

There being no further business, it was moved by Mr. Ullett, seconded by Ms. Osagie to adjourn the Open Session of the Board of Governors. The motion carried.

COMMITTEE: Board of Governors
MEETING: September 30, 2019
ORIGINATOR: University Secretary
ITEM: Advisory Committee on the Vice-President (Students and Enrolment)

I. MATERIAL ATTACHED

- Appointment Guidelines for Vice-President (Students & Enrolment)

II. THE ISSUE

At the request of the President, it has been requested to commence the process of review for reappointment of the Vice-President (Students & Enrolment). The composition of the Advisory Committee is outlined below and you will see that there are three members of the committee (outlined in bold) that are to be elected from Board of Governors.

Committee composition:

- President and Vice-Chancellor, chair of the Committee *ex officio*;
- **Three community-at-large members of the Board, elected by the Board;**
- One member of the staff of the University (not being a member of Faculty), selected by the President;
- Two full-time tenured members of Faculty, one of whom shall hold the rank of Full Professor, elected by Senate;
- One senior administrator and one Dean, elected by the Vice-President Academic and Research Committee; and
- One undergraduate student and one graduate student, elected by Senate.

Debra Alves, Ken Evans and Oliver Javanpour have expressed a willingness to serve on the Advisory Committee.

III. DECISION REQUIRED

Three community-at-large members of the Board to serve on the Advisory Committee on the Vice-President (Students and Enrolment).

IV. BACKGROUND

Ms. Suzanne Blanchard was appointed as Vice-President (Student and Enrolment) on xx for a six-year term. In accordance with the guidelines, she is eligible for successive terms. It is required that the advisory committee be established not later than 12 months prior to the end of the incumbent VP's term.

VI. RECOMMENDATION

Elect Debra Alves, Ken Evans and Oliver Javanpour as the three community-at-large members of the Board to serve on the Advisory Committee on the Vice-President (Students and Enrolment).

**APPOINTMENT GUIDELINES FOR
VICE-PRESIDENT (STUDENTS AND ENROLMENT)**

Approval Authority: Board of Governors
Date Approved: June 2017
Mandatory Revision Date: June 2020
Responsible Office: University Secretariat

Article I: General

- 1.1 Pursuant to the *Carleton University Act* and the Bylaws of the University, the Vice-President (Students and Enrolment) (the “V-P”) is appointed by the Board of Governors (the “Board”).
- 1.2 The V-P shall normally hold office for an initial term of six years, renewable for successive terms in the discretion of the Board.
- 1.3 The term of office of the V-P may be extended for one year periods, for extenuating circumstances. If exigencies require, the Board may appoint an Acting V-P for a period of up to one year and, in extenuating circumstances, such appointment may be renewed by the Board for such term as the Board deems expedient, acting reasonably.
- 1.4 These guidelines shall apply both in the case of the search for a new V-P, and in the case of consideration of an incumbent V-P for renewal of the initial term or any renewal term.
- 1.5 For the purposes of these guidelines, “Special Circumstances” shall mean a situation in which either (i) for whatever reason, the V-P is unable or unwilling to finish her or his current term, or (ii) a recommendation is not made within the time allowed, as contemplated by Articles 3.2 and 4.1 of these guidelines. Should Special Circumstances occur, then these guidelines shall apply *mutatis mutandis* to the review or selection process (as appropriate) undertaken, except with respect to limitations of time as they appear in these guidelines. In the event of the occurrence of Special Circumstances, the review or selection process (as appropriate) will proceed with all reasonable dispatch, bearing in mind the significance of the appointment to the University.

Article II: Committee Process

2.1 The Advisory Committee

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

The University Secretary or designate shall serve as the non-voting secretary of the Committee. The Assistant Vice-President, Human Resources shall be a resource to the Committee.

In her or his discretion, the President may make adjustments in the composition of the Committee. The Committee shall elect its Vice-Chair from among its members.

2.2 Quorum for Committee meetings shall consist of one-half of the members of the Committee plus one being, present in person, by teleconference or by videoconference, at least one of whom must be the President.

Article III: Procedures

3.1 The Committee shall determine its own procedures, subject to the following conditions:

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

Article IV: Reappointment Process

4.1 The President shall communicate with the incumbent to determine if she or he wishes to be considered for reappointment.

4.2 If the incumbent wishes to be considered for reappointment, the following process shall be undertaken:

- The President shall begin the process by meeting with the V-P to discuss the review process.
- The Committee shall proceed to evaluate the performance of the incumbent, using the criteria employed in the appointment of the incumbent, the outcome of annual performance reviews conducted by the President, and input from members of the University community, all as deemed appropriate by the Committee.
- The Committee shall meet with the incumbent to review her or his performance and to discuss the incumbent's plans if she or he were to be reappointed.
- After the Committee has formulated its recommendation to the Board, the President shall meet in confidence with the V-P to review the general findings of the Committee and the nature of the recommendation to be made to the Board.

- The Committee shall use its best efforts to provide a recommendation on reappointment to the President no later than nine months before expiration of the incumbent's term of office. The President shall carry the Committee's recommendation forward to the Board. In the event that the Committee cannot reach a recommendation within the time allowed, then the Board shall be advised, and the Board may either grant an extension of time or strike a new committee pursuant to these guidelines.

Article V: Search Process

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

COMMITTEE: Board of Governors
MEETING: September 30, 2019
ORIGINATOR: Clerk of Senate
ITEM: Special Appointments to Senate

I. MATERIAL ATTACHED

- None.

II. THE ISSUE/BACKGROUND

As per the Academic Governance of the University, a joint policy of the Board and Senate, the Board may make up to four special appointments to Senate. These persons are recommended by Senate to the Board of Governors for appointment. The typical examples of special appointments are: the Academic Colleague and the representative of the Alumni Association.

The Senate elects a faculty member, not necessarily a member of Senate, to serve as the Academic Colleague of the President at meetings of the Council of Ontario Universities (COU). The Academic Colleague makes regular reports to Senate on the activities of COU. Senate also elects an additional faculty member to serve as alternate to the Academic Colleague. If the Academic Colleague is not a member of Senate then he or she may be appointed as a Special Appointment.

The term on Senate for elected faculty and appointed members is three years, and such members are eligible for re-election.

Margaret Haines and Kim Hellemans have agreed to serve as alumni representative and academic colleague, respectively. The matter was considered at Senate on September 20, 2019 and Senate recommends their appointment for consideration by the Board of Governors.

III. DECISION REQUIRED

An academic colleague and alumni representative for membership on Carleton University Senate.

IV. RECOMMENDATION

Approve on the recommendation of Senate, the appointment of Kim Hellemans as the Academic Colleague and Margaret Haines as the Alumni Representative on Senate, for a three-year term.

COMMITTEE: Board of Governors
MEETING: September 30, 2019
ORIGINATOR: Clerk of Senate
ITEM: Special Appointments to Senate

I. MATERIAL ATTACHED

- None.

II. THE ISSUE/BACKGROUND

As per the Academic Governance of the University Academic Policy, the Board may make up to four special appointments to Senate of persons who have been nominated by the Senate Executive and recommended by Senate to the Board of Governors for special appointment to Senate. The typical examples of special appointments are: the Academic Colleague and representatives of the Alumni Association.

The Senate elects a faculty member, not necessarily a member of Senate, to serve as the Academic Colleague of the President at meetings of the Council of Ontario Universities (COU). The Academic Colleague makes regular reports to Senate on the activities of COU. Senate also elects an additional faculty member to serve as alternate to the Academic Colleague. If the Academic Colleague is not a member of Senate then he or she may be appointed as a Special Appointment.

The term on Senate for elected faculty and appointed members is three years, and such members are eligible for re-election.

Margaret Haines and Kim Hellemans have agreed to serve as alumni representative and academic colleague, respectively. The matter was considered at Senate on September 20, 2019 and are recommending their appointment for consideration by the Board of Governors.

III. DECISION REQUIRED

An academic colleague and alumni representative for membership on Carleton University Senate.

IV. RECOMMENDATION

Approve on the recommendation of Senate, the appointment of Kim Hellemans as the Academic Colleague and Margaret Haines as the Alumni Representative on Senate, for a three-year term.

BOARD OF GOVERNORS REPORT

To:	Board of Governors	Date of Report:	6 September 2019
From:	Chair, Advancement and University Relations Committee	Date of Meeting:	30 September 2019
Subject:	Board Award Criteria Review and Jury Selection		
Responsible	University Secretary		
Portfolio:			

1.0 PURPOSE

For Approval For Information For Discussion

2.0 MOTION

To approve the criteria for the 2019/20 Board of Governors Award for Outstanding Community Achievement, proposed timeline and jury composition.

3.0 EXECUTIVE SUMMARY

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

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

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

4.0 INPUT FROM OTHER SOURCES

Annually the A&UR Committee approves the Board Award Criteria, Jury and timeline. Attached the committee can find proposed revisions for 2019/20 as well as a draft timeline.

The following members are recommended for the Jury for the Board Award Selection Committee for the 19/20 year:

Chair or Vice-Chair or designate of the Board as Chair of the Jury:	Dan Fortin
Chair or Vice-Chair or designate of the CR&A Committee:	Patrick Dion
Faculty:	Elinor Sloan
Staff:	Nina Karhu
Undergraduate Student:	Abdulwahab Alhaimi
Graduate Student:	Farima Afaq

5.0 ANALYSIS AND STRATEGIC ALIGNMENT

The Board Award for Outstanding Community Achievement supports the Strategic Integrated Plan goal 3-1 which aims to increase student financial support. This award reflects the board's their shared belief in volunteerism and creating civically engaged citizens through higher education.

6.0 FINANCIAL IMPLICATIONS

The award is given annual in the amount of \$2,000 from the Board of Governors Budget.

7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT

None identified.

8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

Proposed advertising timeline attached.

9.0 OVERALL RISK MANAGEMENT ANALYSIS

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



2019/20 Carleton University Board of Governors Award for Outstanding Community Achievement

The Board of Governors has established an annual award entitled "*The Carleton University Board of Governors Award for Outstanding Community Achievement*". This award recognizes the spirit of student volunteerism and substantial community contribution while at Carleton University.

The Award

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

Individuals may be nominated for this award by:

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

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

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

Qualification Criteria

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

1. leadership in and substantial contributions to the Carleton University community while balancing the demands of student life;
2. academic excellence and potential for future personal and professional growth and achievement;
3. exemplary service to Carleton University, fellow students and/or the community-at-large;
4. a spirit of volunteerism and community service demonstrated through active, unpaid involvement in and contributions to the community, while as a student at Carleton University;
5. a record of exceptional commitment and leadership at Carleton University that inspires others to engage in volunteer service;
6. the recipient must be expecting to graduate in the academic year 2019/20.
7. the recipient cannot be a current board member.

All nominations/applications must include:

1. A statement of no more than 250 words, written by the nominee, describing how their involvement has made a significant difference to social, environmental or philanthropic aspects of the Carleton University community.
2. A resume, no longer than 2 pages in length, that is focused specifically on volunteer experience;
3. Two letters of reference, one of which should be from a supervisor of one of their volunteer activities;
4. The student's full name, student number, mailing and/or email address, and telephone number.

All nominations/applications **must be submitted by email (amanda.goth@carleton.ca) or in person to the University Secretariat, Room 607 Robertson Hall, no later than 4:30pm on March 23rd, 2020**. The presentation of the award will take place at Convocation.

Composition of the Board Award Jury

- Chair or Vice-Chair or designate of the Board of Governors, as Chair of the Jury
- Chair or Vice-Chair or designate of the CR&A Committee
- One Faculty Representative
- One Staff Representative
- One Undergraduate Student Representative
- One Graduate Student Representative



The Carleton University Board of Governors Award for Outstanding Community Achievement

- September 18th** Community Relations & Advancement Committee appoints the jury.
- March 2nd** Board Office issues a Call for Nominations through various internal media, student websites (CUSA, GSA, CSG, RRRA) and distribution of printed posters. The Board Office will partner with other departments who deal with student awards.
- March 23rd** Deadline for receipt of nominations.
- March 24th – April 3rd** Jury to review applicants and identify a successful nominee.
(subject to availability)
- April 22nd** Community Relations & Advancement Committee receives the Jury's recommendation.
- April 30th** Board of Governors receives a report from CR&A on the recommended recipient.
- June/November** Presentation of Award –Spring/Fall Convocation



Canada's Capital University

**Minutes of the 110th Meeting of the Community Relations
and Advancement Committee**

**Wednesday, April 10, 2019
Room 2440R, Richcraft Hall**

Present:	Mr. D. Fortin (Chair) (Phone)	Mr. Nik Nanos (Phone)
	Dr. E. Sloan (Vice-Chair)	Dr. J. Malloy
	Ms. T. Arnt	Dr. P. Merchant
	Ms. G. Garland (Phone)	Ms. A. Spiwak (Phone)
	Ms. N. Karhu	Ms. J. Teron (non-voting member)
Staff:	Ms. S. Blanchard	Mr. J. Conley
	Ms. J. Chandler	Ms. A. Goth (Recording Secretary)
	Mr. D. Cumming	Mr. S. Levitt
Guests:	Mr. G. Aulenback	Ms. B. Reid
Regrets:	Dr. B.A. Bacon	

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

The meeting was called to order at 3:01 p.m.

2. DECLARATION OF CONFLICT OF INTEREST

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

3. APPROVAL OF THE AGENDA

A proposed agenda was circulated in advance. Dr. Sloan noted that the Comprehensive Campaign Update would be moved forward in the agenda. It was moved by Ms. Karhu and seconded by Mr. Nanos the Community Relations and Advancement Committee approve the agenda of the 110th meeting, as amended. The motion carried.

4. APPROVAL OF MINUTES & BUSINESS ARISING

Minutes of the previous meeting were circulated in advance. It was moved by Ms. Arnt and seconded by Dr. Malloy that the Community Relations and Advancement Committee approve the minutes of the 109th meeting, as presented. The motion carried.

There was no business arising from the previous minutes.

5. ITEMS(S) FOR DISCUSSION

A. Reputation Protection and Enhancement

Mr. D. Cumming, Director, University Communications, provided a verbal update on the 2019 Reputation Research Project. The project is a priority for the university to gain a new understanding of how Carleton is perceived on and off campus and to understand the impressions that help define Carleton University's reputation. Through a competitive RFP process, the Strategic Counsel firm was selected to conduct a full market research process. The project is being led by the Department of University Communications, Beth Gorham and University Advancements, Mark Savenkoff. An informal advisory group was also been established comprised of student representation, Institutional Research and Planning, Athletics, a Board of Governors student representative, and faculty members.

Focus groups are being held in April with communications officers, the executive team, student groups and leaders, faculty that are engaged in recruitment efforts and external community members in the wider Ottawa and Toronto areas. The next phase of the research will include a survey that will be sent mid-May to all faculty (including contract instructors) and staff, current students, public, parents, as well as a sample group of the GTA, eastern Ontario and prospective students. In addition a wider list has been developed which includes government, research partners and councils, other school boards, not-for-profit sector leaders, other post-secondary education leadership and individuals with expertise in marketing and branding.

An update communication on the project will be sent to the community in the coming weeks. A report and presentation will be coming forward to the full board at the June 27, 2019 meeting.

B. Relationship Development and Engagement

i) Student Enrolment Update

Suzanne Blanchard, Vice-President, Students and Enrolment, provided an update on the projected Fall 2019 enrolment numbers. Overall the number of applications is up, the number of offers is up 18% and the number of confirmations has increased 10%. These increases are largely due to early offers and processing of applications. There has been positive collaboration throughout the university with the recruitment team. The enrolment number for Ontario students and internationally are up from previous years. June 1 is the deadline for acceptance of offers across Ontario.

ii) Sexual Violence Policy Consultation

An executive summary and presentation were circulated in advance. Ms. Bailey Reid, Sexual Violence Coordinator and Mr. Greg Aulenback, Manager Strategic Initiatives, OVPSE were introduced to give an overview of the nine-month consultation process on the Sexual Violence Policy. The process for reviewing the policy started shortly after the 2017 Sexual Violence Annual Report presentation to the Board of Governors in early 2018. The key value of the consultation was transparency and for that reason a website was created that included a timeline, anonymous feedback form, communications throughout the process, workshop information and the university's response to the feedback received. There were multiple opportunities and formats for individuals to provide input during the consultation including design-think workshops which were facilitated by the Office of Quality Initiatives. There was a robust communications plan and a commitment to communication to all members of the community throughout the process.

The consultation process included seven phases: pre-consultation, process consultation, listening, tactical, drafting, fine-tuning, finalization and approval. All phases took place between August 2018 and April 2019.

During the tactical phase, all feedback was translated into actionable changes to the policy while balancing the legislative requirements and legal requirements. Many items received during the consultation were action and training orientated and therefore a Campus Strategy on Sexual Violence Prevention will be created.

The current phase of the consultation is the finalization and approval phase. There will be communications to the community following the Board of Governors approval as well as continual communications and training in Fall 2019 with regular information on sexual violence prevention and training.

Carleton has been working with the Ottawa community partners to develop coordinated support. The Status of Women Canada gave great feedback on Carleton's consultative review process and the university has been contacted by four other universities inquiring about adapting Carleton's consultation process for their own Sexual Violence Policy reviews.

It was noted that engagement and relationship building with Our Turn has been positive and they were one of the key stakeholders consulted in the review and provided great ideas for the Campus Strategy on Sexual Violence Prevention.

There was interest noted in partnering with student associations and groups to especially use social media to help advertise training and opportunities for students to engage.

It was also noted that this successful process should be used as an example for future policy consultations. The Board of Governors will be considering for approval a revised Sexual Violence Policy with track changes at its April meeting.

C. Revenue Generation

i) Comprehensive Campaign and Advancement Update

A University Advancement Report to Community Relations and Advancement were circulated in advance. The University will be hosting a Campaign Closing Event on April 17th in Richcraft Hall Atrium. Michael Sinkus will be working with Advancement to create a Campaign Completion report which will be shared with the Board of Governors in June.

6. OTHER BUSINESS

6.1 Monthly Board of Governors Newsletter

The Secretariat was thanked for actioning a monthly Board of Governors newsletter featuring upcoming events, announcements, meeting and resources for Board members.

7. ADJOURNMENT

It was moved by Dr. Malloy and seconded by Mr. Fortin to adjourn the meeting at approximately 3:57 p.m. The motion carried.



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**Minutes of the 157th Meeting of the Building Program Committee
Thursday, May 16th, 2019 at 3:00 pm.
Richcraft Hall 2440R**

MINUTES

Present:	Mr. D. Craig, Chair Dr. B.A. Bacon Mr. G. Farrell	Mr. D. Fortin (Phone) Dr. P. Smith Mr. A. Ullett
Regrets:	Ms. G. Courtland	Ms. E. Wohlbold
Staff:	Ms. S. Blanchard Ms. J. Chandler (Recording Secretary) Ms. A. Goth Dr. R. Goubran	Mr. S. Levitt Mr. M. Piché Dr. J. Tomberlin
Guests:	Ms. N. Delcellier Ms. L. Honsberger	Mr. P. Mansfield Mr. G. Nower

1. CALL TO ORDER AND CHAIRMAN'S REMARKS

The meeting was called to order at 3:00 pm. The Chair welcomed Nancy Delcellier, Director of Environmental Health and Safety (EHS) and Philip Mansfield, Sustainability Manager, to speak to the EHS Annual Report and the Sustainability Annual Report, respectively.

2. DECLARATION OF CONFLICT OF INTEREST

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

3. APPROVAL OF THE AGENDA

It was moved by Dr. Smith and seconded by Mr. Ullett that the agenda be approved as presented. The motion carried.

4. APPROVAL OF THE MINUTES AND BUSINESS ARISING

It was moved by Mr. Farrell and seconded by Mr. Ullett to approve that the minutes for the 156th Building Program Committee meeting, as presented. The motion carried.

The committee was provided an update on item 5.2 Engineering Student Design Centre from the 156th Building Committee minutes. A full Project Planning Report will be presented to the committee in 2019/20 once the design stage has obtained a Class D cost estimate.

The committee was also provided an update on the Nicol Building construction which is approximately three to four weeks behind schedule due to weather conditions and the complexity of the first-floor structure. The contractor (R.E. Hein) has been asked to provide a recovery report. Occupancy is expected for July/August 2020.

Additionally, the Chair asked that the committee be appraised of the transportation plan/construction during 2019/20. Carleton has been in discussion with the National Capital Commission (NCC) with respect to adding a second entrance to campus from Colonel By Drive. Discussions are expected to continue with NCC, OCtranspo and the City of Ottawa.

5. ITEMS FOR INFORMATION

5.1 Environmental Health and Safety Report

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

Nancy Dellcellier, Director of Environmental Health and Safety, presented the annual Environmental Health and Safety Report.

Key statistics from the (January – December) 2018 report, included:

- 78% of Health and Safety investigations were closed.
- Seven critical injuries occurred on campus (1 contract employee, 2 employees and 4 students)
- The number of days lost to injury claims significantly decreased.
- 6,000 completions of online training.
 - 70% of staff have completed mandatory online training, and 49% of new hires completed the training in 2018, overall 34% of the training is current.

Ms. Dellcellier outlined the Workplace Hazardous Materials Information System (2015) Federal legislation which started to come into play in mid-2016, adopting new international standards for hazardous workplace chemicals. These legislated changes focus on labelling, Safety Data Sheets and Training. Across the Ontario University Sector, the cost of compliance was estimated at \$114M. As a result, substantive discussions with the province resulted in the Regulation being amended and permits a cost-effective alternative labelling solution, providing the same level of safety but avoiding the prohibitive costs.

In 2018, the CUWorksafe software was introduced. Carleton is the first Canadian University to implement a fully integrated EHS management software solution as an innovative means to decrease risk through prevention. Other universities are seeking to

emulate Carleton's success. In 2018, 95% of incidents, injuries and good catches were directed through the portal.

Many policies were revised or developed in 2018. Notably the Smoking and Alcohol Policy, the Student Rights and Responsibilities Policy and the Environmental Health and Safety Policy to incorporate the legalization of cannabis, the Domestic Animals on Campus policy, the Closing Due to Indoor Temperatures Extremes Policy and the Evacuation Drills Policy.

In 2018, there were 107 calls to Ottawa Fire Services which was a 20% increase from 2017, largely due to false alarms caused by construction on existing buildings. To address this, the protocol for "Hot Work Program" procedure was updated. Fire evacuation drills of all buildings on campus are well below the mandated 8 minutes. There was a dryer fire occurred in one of the residence buildings. To prevent this issue in the future, Safety is working with Residence Services as well as the cleaning staff to perform regular checks.

A fire occurred in a Steacie Building lab on January 26, 2019. The fire was a result of exposed wires in a fume hood that had been exposed to coercive material over a period of time leading to a fire. There was early activation and onsite response to the fire. To prevent this from happening in the future, all older fume hoods have been locked out until they can begin the replacement process on an urgency basis. The fire exposed training gaps for faculty and students in routine inspections, training on WHMIS labelling protocol, and proper chemical inventory maintenance which will be addressed during 2019.

In 2019, the priorities for Environmental Health and Safety are improvements to the CUWorkSafe, Carleton's online tool for hazard identification, injury and incident reporting and workplace inspections, to ensure all mandatory training is completed and current for employees through communication and technological resources.

The committee discussed the software used for the CUWorkSafe program, the importance for senior managers to entrench safety culture and training at the university and the importance of a respectful and collaborative relationship with the Ministry of Labour.

5.2 Environmental Sustainability Plan

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

Philip Mansfield, Sustainability Manager provided a presentation. Carleton has demonstrated a commitment to build upon existing work and programs. Since 2005 the University has shown a 35% reduction in absolute GHG reduction, and a 21% reduction in energy usage intensity. Showing progress towards a 50% reduction target by 2030. Carleton has also seen a 19% reduction in water use since 2014. Waste programs have progressed with the main food courts both being certified as Zero waste, while the overall diversion rate is 54%. The overall trend of reduction and sustainability is strong at Carleton.

Transportation continues to be a pressing issue on campus. Primarily, Mr. Mansfield alluded to efforts that are made on campus to combat single car use. In conjunction with May as “Bike to Work” Month, Carleton is offering free bike workshops and tune-ups. Other means include: the promotion of carpooling, encouraging the use of bike paths or the combination of biking to an O-Train or bus stop, and creating a broader transportation strategy. Currently, about 61% of the Carleton community travel by transit, and 10% cycle or walk.

Food on campus is another aspect of the Environmental Sustainability Plan. Aramark, the catering provider on campus, purchases about a quarter of its products from organic, local, and humane food sources. This is relatively high as compared to other universities, but also offers room for improvement.

The University Centre Food Court and the Residence Food Court are zero-waste environments. In both settings, over 90% of the waste is not going to landfills. In the University Centre, all packaging is recyclable or compostable, and all plastic straws are banned on campus. Currently, Carleton has a 56% Waste Diversion Rate.

Carleton has also used some of their new buildings as “living labs” to see how certain initiatives effect sustainability. For example, the Health Science Building has integrated natural daylighting blinds to conserve energy use in the building profile. This allows Carleton to see if this, and other ideas, are worth incorporating in different buildings.

In addition, Carleton uses Green Globes to assist in sustainable building design. The university is also ranked through STARS (Sustainability Tracking and Ranking System) where Carleton has achieved a “Silver” status, and UI Green Metrics, an International ranking system. Where 700 universities globally submitted their information to UI Green Metrics, Carleton is ranked 33rd, and second in Canada.

The University has launched a number of initiatives to help engage the Carleton community and help promote environmental sustainability on campus through, Carleton 613, a group used to help endorse climate change awareness. Carleton’s Ideas@Carleton site now features a specific tab for sustainability. This portal allows anyone involved with the Carleton community to submit their ideas and a number of workshops took place on campus on this topic. All of these measures garnered over 500 responses which will assist in a Carleton environmental strategy to be launched in August 2019.

Carleton will be adding organic waste bins around campus, not just in food areas. Additionally, while working with the Department of University Communications, Carleton will launch an ongoing branding strategy which will associate the university with sustainability.

The committee discussed using environment and sustainability during recruitment and the potential to highlight Carleton’s green campus and initiatives during campus tours and other recruitment events. The first step in communications surrounding Carleton’s sustainability actions is by creating a webpage, where everything related to this topic can be found in one convenient location.

The committee also discussed the use of plastic water bottles on campus. Mr. Mansfield stated that there are more disposable coffee cups being thrown out as compared to plastic water bottles and various ways to reduce waste on campus are being investigated.

The committee also discussed the risk associated with students and employees cycling to campus and the need to promote safety. Mr. Mansfield expressed the long-term plan for campus, where cars and parking structures will be pushed to the outside of campus, so there will be fewer motor vehicles within the heart of the university thereby increasing safety for cyclists and pedestrians. In promoting safety, efforts will be made to connect Carleton bike paths with the city bike paths and promoting multiple means of transportation to get to campus, such as biking to a bus or O-train stop.

The committee discussed the emissions of the new co-generation project. The purpose of the project is to shift the campus heating and cooling from electrical to a turbine powered by natural gas and will be accompanied by a heat recovery boiler, which will take over steam production, boosting its efficiency by a projected seven to nine per cent. The project also will allow for “islanding”. 60 per cent of the electricity consumed by the campus is expected to come from the grid once the installation is operational with the remainder generated onsite.

5.3 Update on Major Projects and Deferred Maintenance and Minor Construction

An executive summary and financial report was circulated in advance.

Gary Nower, Assistant Vice-President (Facilities Management and Planning) provided the committee with an update on various construction projects.

It was noted that the sheet metal and plumbers are either on strike, or a strike is imminent. The Health Sciences Building (HSB) completion could be affected by these potential strikes. To help mitigate, plumbers are being paid overtime to complete their work before the expected walkout. The HSB is currently on schedule, and the research animals are expected to return by August 26th.

Phase 1 of the ARISE building is almost complete, and substantial completion for Phase 2 on track for July 2019. There is an opening event scheduled for August.

Commissioning of the co-generation project is expected to begin in September 2019.

5.4 Capital Projects Audit recommendation implementations – Project Management System

A verbal report was provided by Gary Nower, Assistant Vice-President (Facilities Management and Planning). A project management framework was created and implemented for projects on campus. All audit recommendations have been completed.

6. OTHER BUSINESS

Mr. Dale Craig, the Chair of the Building Program Committee was thanked for his years of service and leadership on the Board of Governors. As he is to retire at the end of this Board year, this was his last Building Committee meeting.

7. ADJOURNMENT

It was moved by Mr. Ullett and seconded by Dr. Smith to adjourn the meeting at approximately 4:30pm.



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**Minutes of the Finance Committee
Thursday, April 11, 2019 at 12:00 p.m.
Room 2440R, Richcraft Hall**

Present: Mr. B. Wener, Chair
Ms. D. Alves, Vice-Chair
Dr. B.A. Bacon
Mr. G. Farrell
Ms. C. Gold (Phone)

Ms. L. Honsberger
Mr. O. Javanpour
Dr. J. Malloy
Mr. N. Nanos (Phone)

Staff: Ms. S. Blanchard
Ms. A. Goth (Recording Secretary)
Dr. R. Goubran
Mr. S. Levitt
Ms. A. Marcotte

Mr. M. Piché
Ms. B. Springer
Mr. T. Sullivan
Dr. J. Tomberlin

Regrets: Mr. D. Fortin
Ms. Y. Osagie

1. CALL TO ORDER AND CHAIRMAN'S REMARKS

The meeting was called to order at 12:00 p.m.

2. DECLARATION OF CONFLICT OF INTEREST

The Chair asked if anyone on the Committee felt the need to declare a conflict of interest regarding any of the items on the agenda. No conflicts were declared.

3. APPROVAL OF AGENDA

It was moved by Ms. Honsberger and seconded by Mr. Javanpour that the agenda of the 297th Finance Committee be approved, as presented. The motion carried.

4. APPROVAL OF THE MINUTES

4.1 Minutes of Previous Meeting

The minutes of the 296th meeting of the Finance Committee were circulated in advance. It was noted that Item 5.1 is to be revised to include a note that any cost-overruns on the Engineering Student Design Centre will originate from the Faculty of Engineering and Design operating budget carry forward. A correction in Item 5.2 to the prefix of Mr. Farrell's name will be made.

It was moved by Mr. Farrell and seconded by Dr. Malloy that the minutes of the 296th meeting of the Finance Committee minutes be approved, as amended. The motion carried.

5. ITEM(S) FOR APPROVAL

5.1 2019/20 Operating Budget

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

The President outlined that the budget process for the 2019/20 budget was changed with the Provost and Vice-President (Academic) acting as the Chief Budget Office and has been positively implemented. The Provost Budget Working Group is co-chaired by the Provost and the Vice-President (Finance and Administration) was established and includes two Deans. All Resource Planning Chairs (12 in total) presented their budget proposals to each other to improve transparency and communication. The final version presented to the Finance Committee was co-created between the Vice-President (Finance and Administration), Provost and President.

The Provincially regulated tuition framework for 2019/20 includes a 10% reduction in tuition as compared to 2018/19 levels which represents approximately 4% (\$20M) of Carleton's operating budget. The budget proposed for 2019/20 is a balanced budget that has also allowed for some strategic investments.

Dr. Tomberlin, Provost and Vice-President (Academic) and Mr. Piche, Vice-President (Finance and Administration) provided a presentation outlining the proposed 2019/20 Operating Budget. The presentation included an overview of the planning cycle, principles and priorities for short-term and long-term goals. The Provost outlined how items were prioritized during the budget process which included RPC's outlining the proposed use and timeframe of their carry-forward funds, a 2% base budget reduction and any requests for base or fiscal funds for additional resources. It was noted that greater collaboration between units was seen than in past budget cycles.

Enrolment projections for Fall 2019 were provided and Carleton is targeting to outperform the external environment of demographics, geographic origin of

applicants and the GTA population. The total number of high school applications has increased overall. A conservative assumption for the budget included enrolment numbers at the 2016 level. It was noted that enrolment growth is projected for the Faculty of Public Affairs, the Faculty of Arts and Social Sciences and in the Faculty of Science.

The 2019/20 budget shows a total revenue of \$489M primarily from government grants and tuition fees and a \$16M reduction overall in tuition revenue. Projected expenses of \$489M primarily due to salaries, benefits and pension contributions.

A \$24.5M reduction in expenses is anticipated due to a decrease in funds to the provisions and contingencies category (including salary, enrolment-linked budget allocations, pension liability and capital).

Strategic investments include hiring ten new indigenous faculty members over the next two years and post award facilitation for large research grants.

The committee inquired if there will be any changes to the student experience due to the decrease revenues in the operating budget. Management affirmed that maintaining a high quality academic degree, student experience and research impact are a high priority for the institution. All resources have been balanced to protect and enhance the academic mission of Carleton.

Maintaining a balanced budget was noted as a relationship builder with government bodies and may lead to the possible support for special funding projects when and if those opportunities arise.

Diversification of revenue will be a primary focus over the coming years which support for start-ups, pilot project and partnership support in faculties. The university will also continue to support new initiatives in international recruitment and professional Masters programs.

The rolling 5 year projection model was outlined which included a break-even point in 2023-24. The assumption of this model is conservative and does not factor any enrolment growth at Carleton. It was also shown that from 2018 to 2024 the amount of discretionary funds will decrease overtime. Discretionary funds are primarily used for strategic investments in priorities, contract employees and to continue to maintain certain activities on campus.

Capital investments (ongoing capital projects) continue on budget and are progressing well. All funds for capital projects are in place (in reserve) and therefore will not cause further expenses on the operating budget for 2019/20.

Potential future projects were outlined including the potential capital investments needed. The replacement of P9 will be needed in the next 5 years and will be funded through the Ancillary Budget. A new Engineering building is being considered and

will be shovel ready if a funding opportunity arises. A new residence is being considered to provide students with different types of accommodations including open and social space.

An update was given on the internally restricted assets totally \$415M.

The committee discussed the Strategic Mandate Agreement (SMA) process and the possibility of an SMA3 with the provincial government that may include simpler language, fewer metrics that will likely be linked to funding envelopes. It is unknown if the enrolment corridor model will continue.

It was noted that management is working towards the documentation and continual improvement of the budgeting process but has already seen positive improvements in collaboration. A new position of Planning Manager will also be added to the Provost Office to assist with documentation and consideration of a new resource allocation model.

Many of the requests that were not funded were deferred and are primarily requests for additional faculty positions or support staff positions.

The committee discussed how Carleton compares to other institutions in terms of financial health. The Assistant Vice-President Financial Services indicated that in five financial health indicators established by the Canadian Association of University Business Officers, Carleton is among the top universities in financial health. All universities have to balance facilities maintenance, the student experience and academic delivery and the research enterprise.

It was moved by Ms. Alves and seconded by Dr. Malloy to recommend the 2019/2020 Operating Budget to the Board of Governors for approval, as presented. The motion carried.

5.2 2019/20 Student Association Fees

An executive summary was circulated in advance.

Ms. Blanchard, Vice-President (Students and Enrolment) outlined the process that lead to the development of the 2019/20 Association Fees. The Ministry of Training for Colleges and Universities directed that all students must be provided an opportunity to opt out of student association and other non-tuition related fees except for certain mandatory categories. All fees proposed are inline with the Customer Price Index (2.5%) or were determined by referenda in line with the Ancillary Protocol. The OVPSE has been working collaboratively with the student associations to mitigate the overall affect the opt out will have on their operations. The compulsory fees include the UPASS, CUSERT, Career & Placement/Career Services, Uni Centre, CUSA Drug/Accident/Dental insurance, Foot Patrol, Accessibility Building, Ombuds Service, Health & Mental Wellness and Academic Support. The remainder of the frees will have an opt out option and were agreed to by the Student Associations and are primarily fees associated with clubs, societies and social activities of Student Associations. Management is working with the Student Associations to develop a communications plan for September 2019.

The university will be careful before considering subsidizing any Student Association activities as associations need to maintain their independence. The university is not liable for the associations as they are separate legal entities, however the university does have a landlord tenant relationship with the association and does have agreements with the associations regarding collections of fees subject to direction from the Province. It was also noted that the university does have a reputational link with the associations and any financial mismanagement on the associations part would reflect poorly on Carleton.

It was moved by Ms. Honsberger and seconded by Mr. Farrell to recommend the 2019/2020 Student Association Fees to the Board of Governors for approval, as presented. The motion carried.

5.3 Statement of Investment Policies and Procedures for the Retirement Fund

An executive summary and report were circulated in advance.

Ms. B. Springer, Director, Pension Fund Management, outlined that the annual review and filing of the Statement of Investment Policies and Procedures for the Retirement Fund is a requirement of the Pension Benefits Act of Ontario. The statement has been reviewed by the Pension Committee and is recommended for approval by the Board of Governors. The statement outlines that asset mix, return on investment expectations and the investment beliefs (sustainability and responsible investing) for the Fund. There are a small number of changes suggested including an update to section 5 Asset Mix Policy.

It was moved by Mr. Javanpour and seconded by Dr. Malloy to recommend the Statement of Investment Policies and Procedures for the Retirement Fund effective June 30, 2019 to the Board of Governors for approval, as presented. The motion carried.

6. ITEM(S) FOR INFORMATION

6.1 Update on Capital projects and Deferred Maintenance

Mr. Michel Piche, Vice-President, Finance and Administration, provided an update on the ongoing major capital projects. An official opening of the ARISE Building is being planned for August 2019. The Health Sciences Building continues with fit-up with August 2019 as the scheduled date for the research animals to return to Carleton.

7. IN-CAMERA SESSION

An in-camera session was held.

8. OTHER BUSINESS

8.1 Pension Committee Membership

It was moved by Mr. Nanos and it was seconded by Mr. Farrell to recommend to the Board of Governors Ms. Debra Alves be appointed as the Board of Governors' representative on the Pension Committee, for a four-year term commencing July 1, 2019, as presented. The motion carried.

8.2 Investment Committee Membership

It was moved by Mr. Nanos and it was seconded by Mr. Farrell to recommend to the Board of Governors Ms. Debra Alves as the Board of Governors representative on the Investment Committee, for a three-year term commencing July 1, 2019, as presented. The motion carried.

It was moved by Mr. Nanos and it was seconded by Mr. Farrell to approve the appointment of Dr. André Plourde, Dean of the Faculty of Public Affairs, as recommended by the President as the Dean appointee on the Investment Committee, for a three-year term commencing July 1, 2019, as presented. The motion carried.

9. ADJOURNMENT

It was moved by Mr. Javanpour and seconded by Dr. Malloy to adjourn the meeting at approximately 2:04 p.m.

**Minutes of the 41st Meeting of the Governance Committee
Thursday, May 16th, 2019 at 1:00p.m.
Room 2440R Richcraft Hall**

Present:	Mr. K. Evans Mr. P. Dinsdale (Phone) Dr. B.A. Bacon Ms. T. Arnt	Mr. D. Fortin (Phone) Ms. G. Garland (Phone) Dr. I. Lee Mr. A. Ullett
Regrets:	Mr. N. Nanos Ms. A. Spiwak	Mr. K. von Finckenstein
Staff:	Ms. J. Chandler Ms. A. Goth	Mr. S. Levitt

1. CALL TO ORDER AND CHAIR'S REMARKS

The Chair called the meeting to order at 1:05pm. Mr. Evans, the chair of the Governance Committee, welcomed its members to the last meeting of this academic year.

2. DECLARATION OF CONFLICT OF INTEREST

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

3. APPROVAL OF AGENDA

Dr. Lee moved, and it was seconded by Mr. Ullett to approve the agenda, as presented. The motion carried.

4. ITEM(S) FOR APPROVAL

4.1 Minutes of Previous Meeting

The minutes of the 40th meeting of the Governance Committee were circulated in advance.

Ms. Arnt moved, and it was seconded by Mr. Ullett, to approve the minutes of the 40th Governance Committee meeting, as presented. The motion carried.

5. ITEM(S) FOR APPROVAL

5.1 Governance Committee Terms of Reference

Amanda Goth, University Secretary, provided a brief overview of the benchmarking work she had done surrounding committee structures of 20 Ontario universities. Ms. Goth explained that the majority of Ontario universities have five to six committees, where Finance and Audit committees were the strongest constant. Additionally, the benchmarking revealed that 70% of Ontario universities had combined Governance and Nominating committees. The full report was presented at the last meeting of the committee.

It was confirmed that even with less committees of the Board, that every member of the board will have an opportunity to serve on at least one standing committee. The committee discussed how members are assigned to individual committees. Past practice has included the University Secretary considering individual requests, skills and expertise of each member, the specific committee terms of reference (membership requirements), discussions with the committee chairs, board chair and president to create a draft roster. The Executive Committee approves the committee membership for each committee.

The Governance Committee Terms of Reference with and without track changes were circulated in advance. Firstly, the committee discussed the proposed combination of the Governance and Nominating committees for the 2019-20 year. With the merger of these two committees, the Terms of Reference ensure that a merged committee will fulfill the same tasks the Governance and Nominating committees completed separately. It was noted that although the proposed committee has absorbed the roles of the Nominating Committee, the name of the committee is proposed as “Governance Committee” since nominating is an important aspect of the governance process.

The updated terms of reference also stated that this committee will consist of the Board Chair, Vice-Chair, and Past-Chair of the Board of Governors, as well as the President of Carleton. This committee will have approximately 11-12 members, including two to three community-at-large members – from where the Chair of the committee will be appointed, and at least one member from the remaining constituencies.

Questions arose surrounding the makeup of each committee, and how members will be Before the Terms of Reference went to a vote, three editorial changes were suggested.

- 1) In Schedule A, add “Government Relations” to the expertise needed on the Board;
- 2) Clarify the constituencies where the Chair and Vice-Chair is appointed from so it is clear they can be Community-at-large or alumni members;
- 3) Include the word “may” in front of the recruiting strategies used to find new members so the board is not required to use all of the means listed.

It was moved Dr. Lee by and seconded Mr. Ullett by to recommend the Governance Committee Terms of Reference be approved by the Board of Governors, as amended. The motion carried.

5.2 Executive Committee Terms of Reference

The Executive Committee Terms of Reference with and without track changes were circulated in advance.

In the proposed terms of reference, the Human Resources and Compensation subcommittee was folded back into the Executive committee's mandate. Members were supportive of this change, as it would eliminate the redundancy between the two committees. It was agreed that the re-merging of the mandates of these two groups was beneficial for the Board of Governors.

The terms of reference for this committee have added presidential compensation and assessment, succession planning, and annual review of legal matters to the executive committee responsibilities. Additionally, pension work was removed from the executive committee and added to the Audit and Risk committee as this is current practice.

It was moved Dr. Lee by and seconded Mr. Ullett by to recommend the Executive Terms of Reference to be approved by the Board of Governors, as presented. The motion carried.

5.3 Building Program Committee Terms of Reference

The Building Program Committee terms of reference with and without track changes were circulated in advance.

It was noted that there were prior discussions regarding the merger of the Building Program committee with the Finance committee. The merger is not proceeding though a clause was added in the proposed terms of reference of both committees to allow for joint meetings when topics of common interest arise.

Additionally, the updated terms of reference reflect the new capital planning process policy, and require that both the committee and the board be continuously updated on deferred maintenance and infrastructure renewal. Annex A was removed, as it was an out-of-date process, and the new capital planning process policy was used to update schedule A and B. The qualification of "engineering" was added to the membership. Finally, the Environmental Health and Safety report was removed from the Building Program Committee and added to the mandate of the Audit and Risk Committee. Largely, this report focuses on environmental health and safety risk and mitigation and does not pertain to specific buildings on campus.

It was moved Ms. Arnt by and seconded Dr. Bacon by to recommend the Building Program Committee Terms of Reference be approved by the Board of Governors, as presented. The motion carried.

5.4 Finance Committee Terms of Reference

The Finance Committee Terms of Reference with and without track changes were circulated in advance.

Congruent with the Building Program Terms of Reference, a clause was added to the Finance committee allowing the two groups to hold joint meetings when there are topics of joint interest. Other changes included: Provost and Vice-President (Academic) was added as an executive officer, the Financial Planning section was changed to “recommend” as opposed to “approve,” the examining of recommendations of the pension committee was added as a responsibility, and review of insurance coverage was be moved to the Audit and Risk committee mandate. In line with current practice, the Finance Committee will now receive bi-annual reports on the endowment.

The composition remains the same with the exception of the removal of the Chancellor. Total membership of a maximum of 11 members, and quorum remains unchanged.

It was moved by Dr. Lee and seconded by Mr. Ullett to recommend the Finance Committee Terms of Reference to be approved by the Board of Governors, as presented. The motion carried.

5.5 Advancement and University Relations Committee Terms of Reference

The Advancement and University Relations Committee Terms of Reference with and without track changes were circulated in advance.

The Chair noted that the Terms of Reference should explicitly state that the members are not to be directive to certain university departments (i.e. Department of University Advancement, Department of University Communications etc.), but are rather there to provide support those areas. After a lengthy discussion surrounding this statement, the Governance Committee decided that the phrase “strategic advice and assistance” should be changed to “strategic oversight and assistance” as to best convey the role of the committee.

The changes made to these Terms of Reference can be summarized as: The name updated from Community Relations and Advancement to University Relations and Advancement, executive officers were added (Chief Advancement Officer and Director of University Communications) and the scope was limited to the three objectives: Relationship Development. Reputation Protection and Enhancement, and Revenue Enhancement. The quorum was clarified to ensure it only included voting members. Finally, consistent with past practice, the Terms of Reference now formalizes the committee’s responsibility of oversight for the Board of Governors’ Award.

An issue was raised surrounding the topic of Government Relations. It was clarified that this role was moved to the Executive Committee.

It was moved by Mr. Ullett and seconded by Mr. Fortin to recommend the Advancement and University Relations Committee Terms of Reference be approved by the Board of Governors, as amended. There was one abstention. The motion carried.

6. OTHER BUSINESS

No other business was declared.

7. ADJOURNMENT

It was moved by Mr. Ullett and seconded by Dr. Lee to adjourn the 41st meeting of the Governance Committee at 2:09pm.

BOARD OF GOVERNORS REPORT

To:	Audit and Risk Committee	Date of Report:	8/24/2019
From:	Vice-President (Finance and Administration)	Date of Meeting:	09/12/2019
Subject:	Item 5.3 Enterprise Risk Management Framework		
Responsible	Vice-President (Finance and Administration)		
Portfolio:			

1.0 PURPOSE

For Approval For Information For Discussion

2.0 MOTION

That the Audit and Risk Committee recommends for approval the University's Enterprise Risk Management Framework to the Board of Governors.

3.0 EXECUTIVE SUMMARY

Carleton University has engaged in an Enterprise Risk Management process for 23 years and over this time, there has been very little in the way of substantial change to the process or reporting structure of the program. As such, there is a need to refresh the Enterprise Risk Management program to provide enhanced risk identification and evaluation, reporting, and interaction with internal audit to create a risk-based audit environment. As a first step in the renewal process, the University retained the consulting service of Deloitte in 2018 to review Carleton University's existing Enterprise Risk Management program and to make recommendations for improvement. The report from Deloitte made nine recommendations to refresh and improve Carleton University's Enterprise Risk Management program.

Two key recommendations of the report focused on the development of a new vision statement for risk management at Carleton University, and a rewrite of the University's Enterprise Risk Management (ERM) framework to better reflect the expectations for risk management practices and processes, roles and responsibilities, and information flow.

The attached renewed Enterprise Risk Management framework meets the highlighted key recommendations in the Deloitte report by providing a new vision statement for ERM at Carleton University, while providing: i) detailed guidance on the goals and principles for ERM at the University, ii) the objectives and principles of the ERM program, iii) defined responsibilities of the ERM stakeholders, iv) a revised risk appetite statement, v) and a detailed ERM process.

4.0 INPUT FROM OTHER SOURCES

The Carleton University Enterprise Risk Management framework is based on ISO 31000 Enterprise Risk Management Guidelines. In addition, a review of best practices was completed, by comparing ERM frameworks from leading post-secondary institutions in Canada and the United States.

5.0 ANALYSIS AND STRATEGIC ALIGNMENT

A robust Enterprise Risk Management program ensures key risks and emerging risks, that could affect the achievement of the organization's strategic goals, are identified, evaluated and treated. An ERM program not only makes sure the negative impacts of the risks identified are mitigated, but also provide opportunities to exploit the identified risks to support the achievement of strategic initiatives. Effective ERM informs senior management of the University's risks and the effectiveness of implemented controls, allowing for intelligent risk taking. A mature ERM program assists the Board of Governors in achieving their oversight responsibilities by providing a formalized reporting process by which they are informed of the key risks faced by the University, but more importantly, they

receive assurance that the controls implemented to mitigate or exploit risk are effective.

Carleton’s new proposed ERM framework provides a road map for achieving the goals for enterprise risk management at the University by adding value to the organization and identifying key enterprise risks and ensuring appropriate mitigation is in place.

6.0 FINANCIAL IMPLICATIONS

The financial obligation indicated by the implementation of the Enterprise Risk Management Framework should be minimal. The only foreseeable costs, will be expenses related to the provision of necessary training. Adoption of the framework criteria will become an integral part of management planning and decision making process.

7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT

In Canada, there is no regulatory or legal requirement for post-secondary intuitions to implement Enterprise Risk Management. However, best practices in governance, due diligence and standards of care establishes ERM as a key component of a mature governance and operational model. The implementation of the Enterprise Risk Management framework will enhance Carleton University’s ERM program and help manage ongoing legal and compliance risks faced by the University. Implementing ERM will assist the Board in achieving its oversight and fiduciary responsibilities.

8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

Failure to identify key risks to the University and apply appropriate levels of mitigation can result in negative financial, legal and reputational impacts. The implementation of the improved Enterprise Risk Management framework should enhance the University’s ability to identify risk that are detrimental to the University’s reputation and manage them appropriately to minimize financial impacts.

A key component of the implementation of the Enterprise Risk Management framework is the need to communicate the changes to the framework to the community. The Department of Communication will pay a key role in developing a communication plan to achieve this requirement.

9.0 OVERALL RISK MANAGEMENT ANALYSIS

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



Carleton
UNIVERSITY

Canada's Capital University

Enterprise Risk Management Framework

Risk and Insurance Services

Based on recommendation from *Deloitte's Enterprise Risk Management Report (October 2018)* the following document has been updated and rewritten:

- Enterprise Risk Management Framework



ENTERPRISE RISK MANAGEMENT FRAMEWORK

BACKGROUND, FRAMEWORK, GOVERNANCE, RISK
MANAGEMENT PROCESS, RISK APPETITE

- Enterprise Risk Management Framework
 - | Vision
 - | Background, Definitions, Objectives and Key Principles
 - | Governance and Responsibility
 - | Strategic Approach
 - | Risk Appetite
 - | Risk Management Processes (Enterprise and Operational)



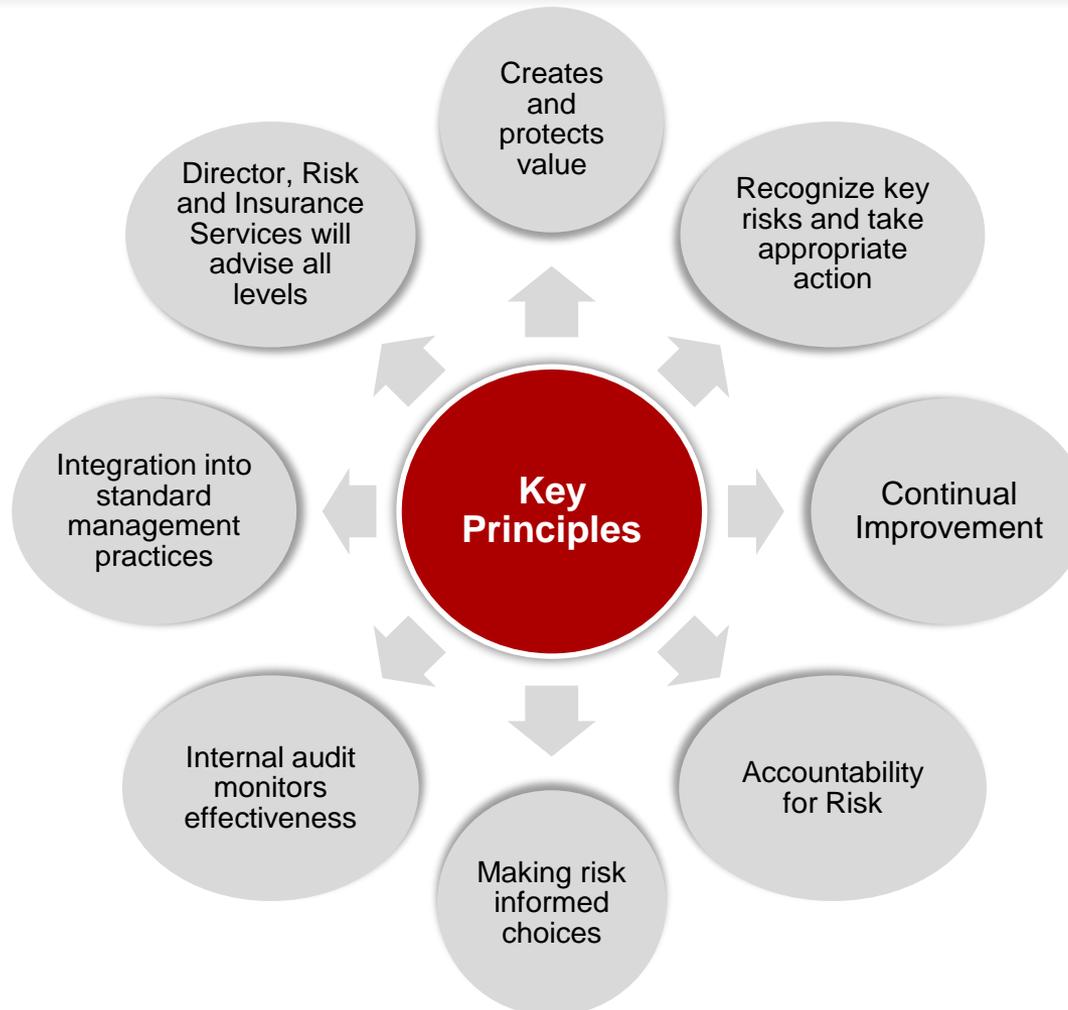
“The Carleton University Enterprise Risk Management program creates a risk aware culture that promotes and integrates principled decision making by identifying, analyzing and mitigating risk.”

Definitions

- Risk
- Risk Management
- Risk Committee
- Enterprise Risk Management
- Operational Risk Management
- Risk Management Framework
- Risk Management Policy
- Risk Ranking
- Risk Treatment
- Risk Appetite
- Risk Owner
- Inherent Risk
- Residual Risk
- Key Risk Register

The *objectives* of the risk management framework are:

- Risk is taken into account when making strategic decisions
- Incorporating operational risk management into standard management processes
- Establish environment where stake take responsibility for risks
- Identification, analysis, and treatment of key Enterprise risks to report to the Board



Strategic Approach:

- Consistently assessing potential impacts of major risks on an Enterprise basis

Governance and Responsibility:

■ Role of...

- | Board of Governors
- | President
- | Vice-Presidents
- | Directors and Managers
- | Internal Audit
- | Director, Risk and Insurance

Board of Governors

- Approve Enterprise risk register, management action
- Monitor effectiveness of risk management processes

President

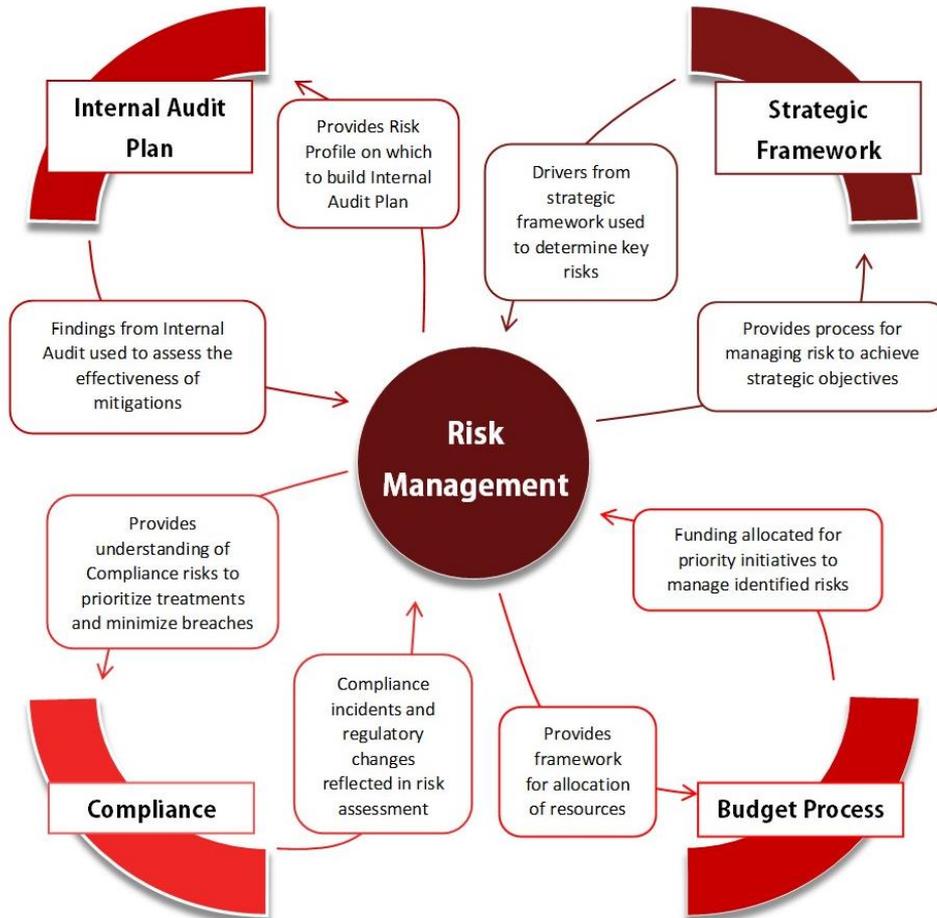
- General oversight – assess top risk action plans, and approve treatments
- Promote risk management culture

Vice Presidents

- Develop, implement, and review policies and procedures
- determine the risk profile of the university
- Identify and manage enterprise and operational risks
- Communicate with Board, President, Auditors about risk status
- Ensure risk recommendations are acted upon

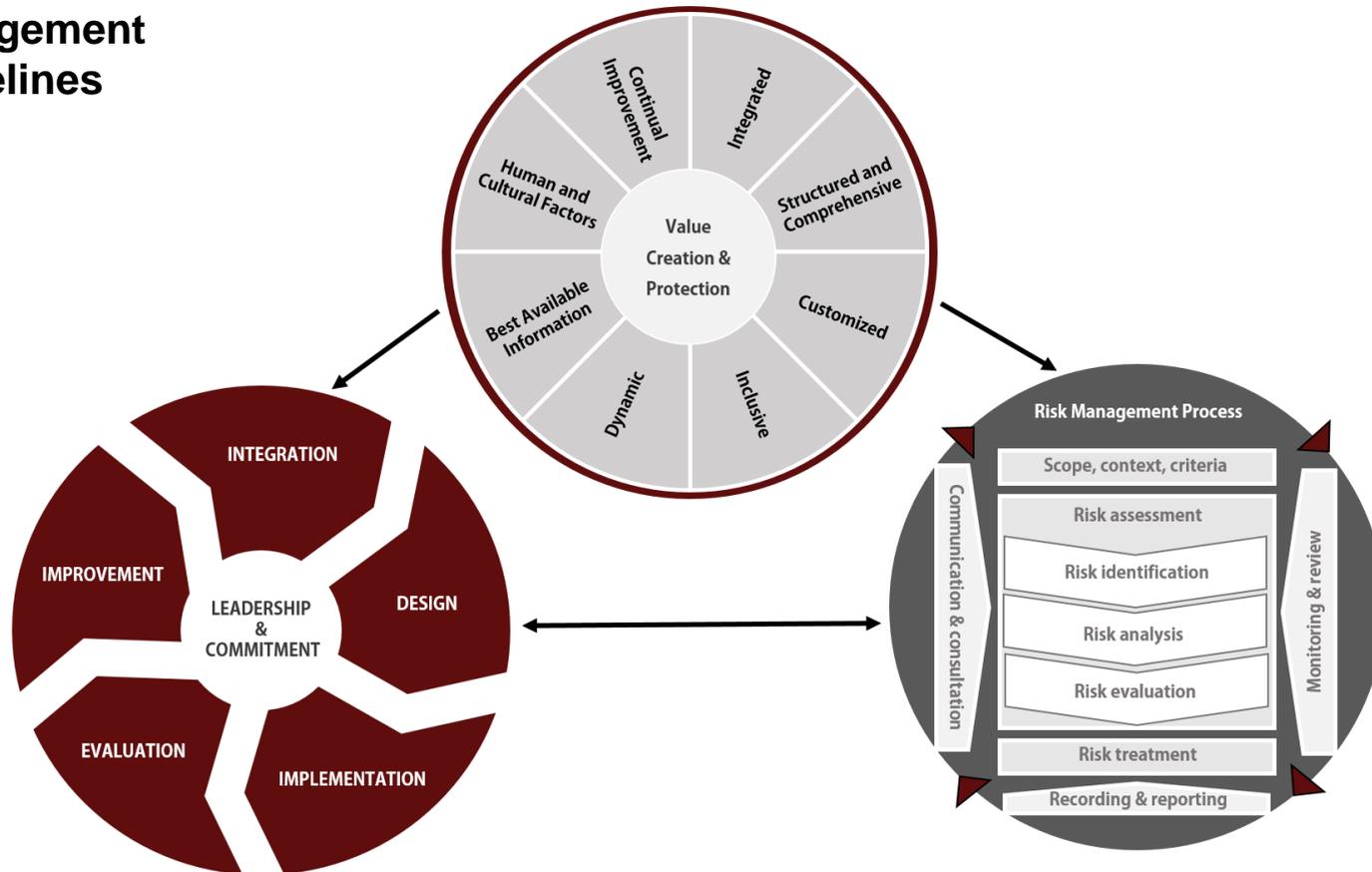
Governance Value Model

*The **Governance Value Model** presents the benefits of strong risk management processes.*



Risk Management Process

ISO 31000 Risk Management Guidelines



- University goals will influence which risks are worth accepting for the opportunity of potential growth
- Key challenges:
 - | Ethical and effective governance
 - | Allowing innovation
 - | Avoidance of risk adverse corporate culture
- Risks are managed according to Enterprise Risk Management Framework

Carleton's risk appetite is broken down into key risk categories:

No.	Risk category	Risk Appetite
1	Strategic	Entrepreneurial
2	Financial viability	Conservative
3	Research	Entrepreneurial
4	Culture and values	Balanced
5	Teaching and learning	Balanced
6	Environmental and social responsibility	Balanced
7	Operational	Conservative
8	Legal	Conservative
9	People	Conservative
10	Technological	Balanced

“The university’s approach is to minimise its exposure to risks relating to its regulatory and compliance responsibilities, operational risks and people while accepting and encouraging an increased degree of risk in pursuit of its vision and strategic goals.”

Types of risk appetite:

Conservative: Risk ranking of 10 or less.

Balanced: Risk ranking of 11 to 16.

Entrepreneurial: Risk ranking greater than 16 but less than 20.

Risk Appetite Example

Program/Project/ Event	Risk Category	Risk Ranking	Risk Owner	Action/Escalation
To create a program to develop work placements for students with disabilities	Strategic	>20	Vice President	Provide fiscal funding pending government grant to push initiative forward
Enter into Affiliation agreement for student exchange with partner in high risk country	Conservative	5-10	Vice President	Decision made not to enter into the agreement because of violence in country. Low risk appetite for danger to student safety

Step 2: Risk Assessment

- Risk Identification
 - | Comprehensive list of risks that could affect objectives
 - | 10 Key Enterprise Risk Register
- Risk Analysis
 - | Risk Likelihood & Impact Ratings
- Risk Evaluation
 - | Determining acceptability of risk using the university's risk appetite statement

Frequency	Risk Probability
Almost Certain 5	81-100% Quite Probable the risk will occur
Likely 4	61-80% More Likely than not this risk will occur in the next 36 months
Possible 3	41-60% Somewhat Likely this loss will occur in the next 36 months
Unlikely 2	21-40% Low possibility this risk will occur in the next 36 months
No Chance or Rare 1	1-20% Very low possibility this risks will occur in the next 36 months

Risk Likelihood Ratings Chart

Step 3: *Risk Treatment*

There are five options:

- 1) Avoidance (terminate)
- 2) Reduction (treat)
- 3) Transfer
- 4) Acceptance (tolerate)
- 5) Exploiting the risk

- Note multiple strategies can be used for one risk
- Establish a risk mitigation plan
- Assign a risk owner

Step 4: *Monitoring and Review*

- Regular checking and surveillance
 - | Ensuring controls are effective and efficient

Step 5: *Communication and Consultation*

- Timing and meaningful reporting
- Information in reports must be concise, unambiguous, standardized, and consistent
- Reporting templates and schedule included as Appendix

- Requirements to conduct assessment
- Guidelines how to conduct operational risk assessment included in Appendix F





Enterprise Risk Management Framework

CARLETON UNIVERSITY

AUGUST 2019



Contents

2.0 Background	3
2.1 Framework.....	3
2.1.1 Vision	3
2.1.2 Definitions.....	3
2.1.3 Objectives	5
2.1.4 Key Principles.....	5
3.1 Strategic Approach	6
3.2 Governance and Responsibility	6
3.3 Role of the Board of Governors	6
3.4 Role of the President	6
3.5 Role of the Vice-Presidents.....	7
3.6 Role of Directors and Managers	7
3.7 Director, Risk and Insurance Services	7
3.8 Role of Internal Audit.....	8
4.0 Governance Value Model	8
5.0 Risk Management Process	9
5.1 Risk Appetite.....	9
5.2 Risk Management Processes	16
5.2.1 Enterprise Risk Management Process	16
2.6 Performance	21
2.7 Review	21
Appendix A.....	22
Table 1- Risk Likelihood Rating	22
Appendix B.....	23
Table 2- Risk Impact Rating.....	23
Appendix C.....	26
Table 3- Risk Ranking Table	26
Appendix D	27
Table 4 – User Reports.....	27
Appendix E.....	28
Report Templates	28
Appendix F.....	43
1.0 Guidelines on How to Perform an Operational Risk Assessment (Department, Project, Event etc.)	43
1.1 Identify Departments Goals.....	43
1.2 Risk Identification	43
1.3 Risk Analysis.....	43

1.4 Risk Evaluation 44

1.5 Risk Treatment..... 44

1.6 Reassessment 44

1.6 Reporting 44

2.0 Risk Assessment Questionnaire 45

3.0 Operational Risk Assessment Example for Capital Construction Project 46

3.1 Operational Risk Assessment Example Results for Capital Construction Project 47

Appendix A..... 48

Operational Risk Assessment Worksheet 48

Enterprise Risk Management Framework

2.0 Background

Carleton University is committed to being a bold, dynamic and innovative leader in higher education providing an accessible, adaptable and challenging learning environment to develop graduates and research that meet the needs of regional, national and international communities.

The university recognises that it can only take up opportunities as a bold and innovative leader in higher education or research if members of the university community are willing to accept and live with a certain level of managed risk.

Effective risk management is necessary for competent strategic decision-making and the conduct of efficient, effective and robust business processes that allow the university to take up opportunities while meeting required standards of accountability, compliance, probity and transparency.

The Risk Management Framework is a core component of the corporate governance responsibilities of the university's management and the Board of Governors. The framework will be applied by all officers of the university, and its controlled entities and will identify options for improving and streamlining policies, administrative practices and internal controls and help ensure the ongoing relevance, safety, viability, compliance and accountability of day-to-day operations.

Implementation of the framework is expected to allow managers and academic leaders to:

- identify viable and sustainable academic and research opportunities;
- support decisions to proceed with or terminate an activity;
- avoid opportunities that may expose the university to excessive risk;
- better ensure the delivery of high-quality services and products;
- recognise more efficient and effective administrative control arrangements;
- support resourcing and workload decisions; and
- plan co-ordinated responses to, and management of emerging risks and risk events.

2.1 Framework

2.1.1 Vision

The Carleton University Enterprise Risk Management program creates a risk aware culture that promotes and integrates principled decision making by identifying, analyzing and mitigating risk.

2.1.2 Definitions

Following are key definitions:

Risk

Is the effect of an event or activity on the university's strategic or operational goals. An effect is a positive or negative variation on what is expected. Risk is expressed in terms of a combination of the impacts of an event and the associated likelihood of occurrence.

Risk Management

Coordinated activities to direct and control an organization with regard to risk. The risk management process establishes the context, identifies, analyzes, evaluates, treats, monitors and reviews risk.

Risk Committee

A senior management committee which is tasked with the analysis and evaluation of the top 10 Enterprise risks facing the university. Membership of the Committee is by appointment by the President and in most cases mirrors the President's Advisory Group., and includes the Director, Risk and Insurance Services who will coordinate and lead committee meetings.

Enterprise Risk Management

Is a systematic approach to managing uncertainties resulting from the university's key enterprise risks. It is a holistic approach to identify, evaluate and treat key risks to the university's strategic goals. Enterprise risk management is carried out by the university Risk Committee and is led by the Director, Risk and Insurance Services. It is used to inform senior management and Board of Governors of the top 10 risks faced by the university.

Operational Risk Management

Is the systematic approach to managing uncertainties resulting from inadequate or failed internal processes, the actions of people or the failure of systems or external activities. Operational risk management is practiced at the department or project level and is led by department or projects managers and is supported by the Office, Risk and Insurance. Operational risk management is an input into Enterprise risk management.

Risk Management Framework

A set of components that provides the foundation and organizational structure for designing, implementing, monitoring, reviewing and continually improving risk management throughout the organization.

Risk Management Policy

A statement of the overall intentions and directions of the university related to risk management.

Risk Ranking

An assessment of the likelihood that a particular risk may occur and the impact to the objective of the institution should the risk occur

Risk Treatment

Processes to modify risk. This can include:

- risk avoidance;
- removing the risk source;
- changing the likelihood of the risk;
- changing the impact of the risk;
- sharing the risk with another party or parties;
- retaining the risk by informed consent;
- exploiting the risk.

Risk Appetite

The amount and type of risk the university is willing to pursue or retain.

Risk Owner

A person with the responsibility, accountability, and authority to manage a risk and prepare risk mitigation plans.

Inherent Risk

The risk to the university in the absence of any actions management might take to alter the likelihood or impact of a risk.

Residual Risk

The remaining risk after the risk treatment has been applied.

Key Risk Register

A priority listing of the 10 Key Enterprise risks faced by the university, including potential causes and impacts, existing and suggested risk treatment and mitigation measures. The 10 Key Risk Register is the tool used to communicate Key Enterprise risks to the Board of Governors.

2.1.3 Objectives

The objectives of the risk management framework are:

- to ensure that corporate risks are taken into account when undertaking and implementing strategic management decisions;
- to ensure the management of operational risks is integrated into standard management and accountability processes;
- to develop an environment where staff assume responsibility for managing risks;
- to assist management in the identification, analysis, and treatment of key operational risks; and
- to assist senior management in the identification, analysis, and treatment of key enterprise risks and report the enterprise risks and treatment in place or proposed to the Board of Governors.

2.1.4 Key Principles

The following key principles will underpin the university's approach to risk management:

- risk management creates and protects value - it contributes to the demonstrable achievement of objectives and improvement in performance across all areas of the university;
- the university will recognise and disclose key risks in a systematic manner and take appropriate action to manage these risks;
- the responsibility for overseeing risk management within the university rests with the President. The vice-presidents are responsible for implementing and supporting policies and

procedures for the effective management of risk, including the Enterprise Risk Assessment completed by Director, Risk and Insurance Services;

- risk management facilitates continual improvement of the university;
- Directors managers and academic leaders of the university, and its controlled entities, will be accountable for ensuring good risk management practices;
- risk management is a key part of the decision making process at Carleton University and helps decision makers make risk informed choices;
- internal audit will monitor the effectiveness of risk management within the university, report to the Audit and Risk Committee on compliance with this framework and provide support to risk management processes;
- the Director, Risk and Insurance Services will advise all levels of the university governance structure on the risk management framework and the risk management policy; and monitor and report on the risk management process;
- risk management will be integrated with standard management practices, with accountability following established reporting lines.

3.1 Strategic Approach

When identifying major risks, it is important to consistently assess potential impacts. Risks have a different potential impact on the university's strategic objectives than on individual projects, departments or programs. It is expected that decisions at all levels of the university take into account the enterprise impact in relation to the university's goals.

3.2 Governance and Responsibility

Risk management is the responsibility of all of the university's employees. This document guides the Board of Governors, managers, supervisors, faculty and staff who are involved in the Enterprise Risk Management and Operational Risk Management processes.

3.3 Role of the Board of Governors

The Board of Governors through the Audit and Risk Committee have the responsibility for the oversight of the risk management program, and Key Enterprise risks and the respective risk treatment measures implemented. The Board, through its Audit and Risk Committee, will:

- approve policy in relation to risk management;
- approve the Enterprise risk register;
- monitor the effectiveness of risk management processes; and
- approve management action to improve risk management.

3.4 Role of the President

- Provide general risk management oversight to ensure ERM adoption throughout the university;
- Assess top risks action plans and review/approve major risk treatment options; and

- Promote a risk management culture at all levels of the university.

3.5 Role of the Vice-Presidents

The vice-presidents are accountable to the President for risk management and are to:

- develop and implement policies and procedures for risk management;
- determine the risk profile of the university and the university's attitude to risks with respect to particular major issues;
- identify and manage the enterprise risks faced by the university and convey this information to the President and the Board of Governors;
- ensure that operational risks are identified and appropriately managed throughout the university;
- ensure that recommendations and directions of the Board of Governors, President, and Internal and External Auditor, with respect to risk management are acted upon;
- provide adequate information in a timely manner to the Board of Governors through the Audit and Risk Committee on the status of risks and risk treatments in place and proposed;
- ensure the existence of performance standards for the implementation of risk management policies and procedures;
- arrange for the annual review of the performance of budget centres, business enterprises and controlled entities in relation to the implementation of risk management policies and procedures; and
- review policies and procedures on a regular basis to ensure they remain effective and appropriate.

3.6 Role of Directors and Managers

Directors, managers and academic leaders of the university, and its controlled entities, are responsible for incorporating risk management into their standard management practices by:

- identifying and determining appropriate actions to address operational risks within their area of responsibility in accordance with university policies and procedures;
- implementing actions with respect to risk management as directed by the vice-presidents; and
- reporting on the management of significant emerging or residual risks.

3.7 Director, Risk and Insurance Services

The Director, Risk and Insurance Services is responsible for overall risk management at the university and as such is responsible for:

- developing the risk management framework and policies that allows the university to manage risk in a structured way and promotes a strong risk management culture at Carleton University;
- ensuring risk and opportunities are formally recognized, prioritized, and assigned to appropriate risk owners throughout the university.
- ensuring that the risk owners have assigned appropriate managers to oversee the implementation of actions to mitigate risks and enhance opportunities wherever possible.
- monitoring and reporting on progress of those actions;
- ensuring the ERM plan is monitored and updated regularly;

- maintaining/updating the Top 10 Key Risk Register;
- conducting or arranging appropriate risk management education and training;
- providing policy and processes to departments to identify, analyze and manage risks;
- producing and providing relevant and timely user reports;
- providing an annual ERM status report (measured progress/next steps);
- managing the risk financing program of the university through the procurement of adequate insurance coverage to protect the university's physical assets and any potential liability exposure.

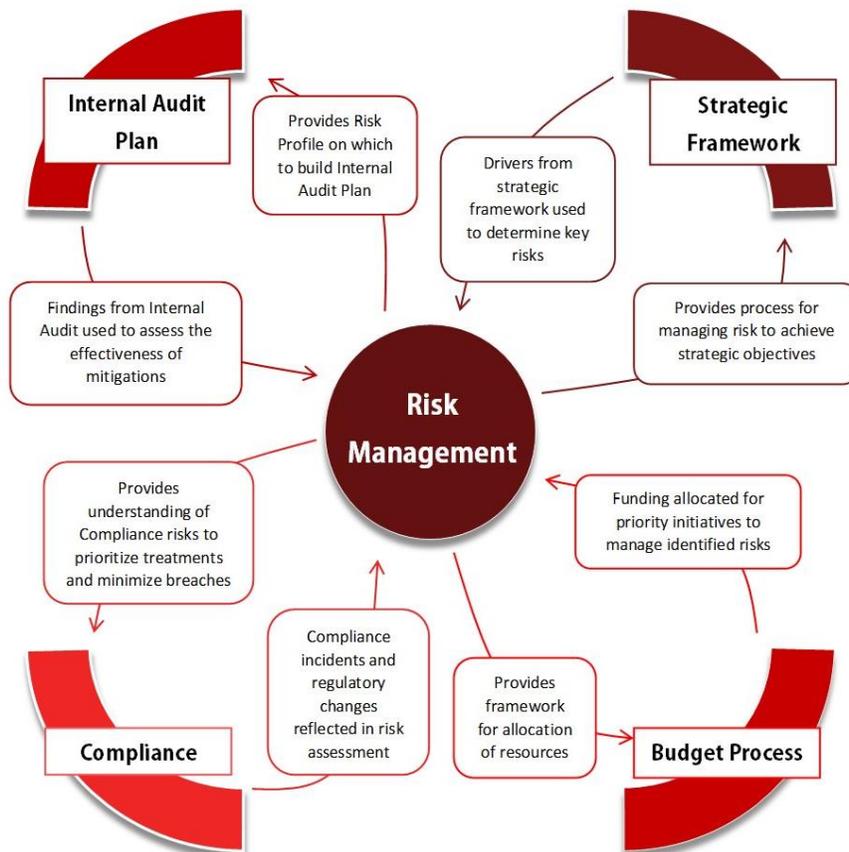
3.8 Role of Internal Audit

Internal Audit will:

- monitor the effectiveness of the operation of the risk management framework and be an input in the risk identification process; and
- recommend changes to controls, which when implemented will provide more effective and efficient mitigation of the identified risk.

4.0 Governance Value Model

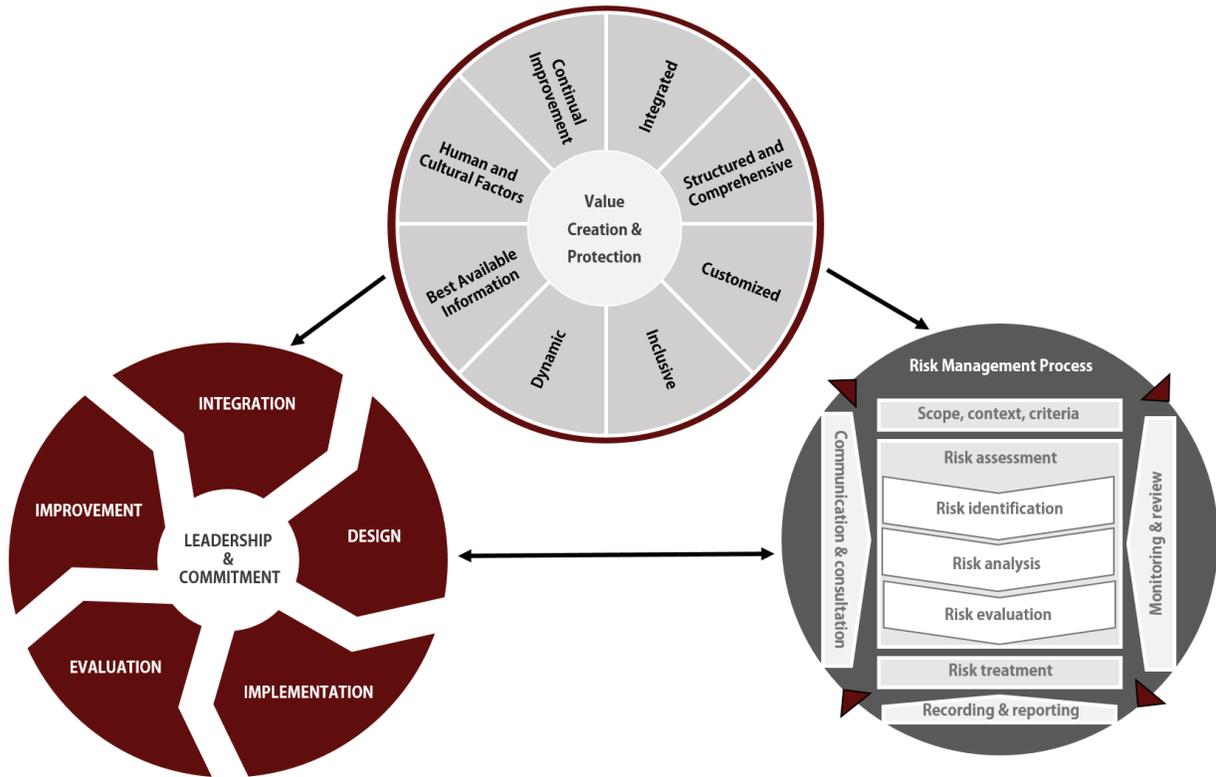
Risk management has several important linkages with other areas of governance activity that occurs across Carleton University. The Governance Value Model below articulates some of the benefits that strong risk management provides to other areas of the university and vice-versa. This model helps



provide the Board and Senior Management with timely, consistent and risk-assessed information to assist balanced and informed decision making.

5.0 Risk Management Process

ISO 31000 (2018 Framework)



5.1 Risk Appetite

Overall Risk Appetite

The Board of Governors, senior management and staff will take into consideration the university’s stated Risk Appetite in both strategic and operational decision making.

The university’s goals will necessitate that the university accept those risks that accompany growth and are commensurate with the potential reward. While overall Carleton University has limited appetite for risk in many of its activities, it is acknowledged that the university must at times undertake activities that inherently carry greater risks in order to be innovative and a leader in higher education. To that end the university’s risk appetite will often be different at an activity level from that at a whole-of-institution level.

The key challenges in achieving this balance are to ensure:

- ethical and effective governance practices including responsible stewardship of resources;

- realisation of opportunities and allowing innovation while avoiding unnecessary bureaucracy; and
- avoidance of a risk averse corporate culture which stifles innovation rather than supporting it through the correct assessment and management of risks.

Good practice in risk management indicates that organisations should specify their appetite for risk at a granular level related to the nature of activities in the organisation. The Risk Appetite Statement specifies the amount of risk the university is prepared to accept in pursuit of its business objectives and strategic plan. It indicates the parameters within which the university would want to conduct its activities.

In terms of priorities, the need to minimise risks relating to legal, operational risk and overall health and safety for its people and communities, will take priority over other factors e.g. it will be acceptable to undertake risks in research activities providing they do not expose the university to undue compliance or people risk. Therefore, a balanced assessment has to be taken of risks – in many cases there are risks attached to both doing something and doing nothing. The ‘do nothing’ option may often impose greater risk.

Risks are to be managed in accordance with the university’s Enterprise Risk Management Policy, Framework and associated procedures and guidelines. Where appropriate, the implementation of the Risk Appetite Statement will be incorporated into other processes and procedures of the university.

Responsibility for approving the Risk Appetite Statement rests with the Board of Governors. Implementation is the responsibility of the management of the university, in particular, the university’s Executive, Deans, Assistant Vice and Associate vice-presidents, Chairs, Directors and Managers.

Statement of Risk Appetite

The university’s approach is to minimise its exposure to risks relating to its regulatory and compliance responsibilities, operational risks and people while accepting and encouraging an increased degree of risk in pursuit of its vision and strategic goals. It recognises that its appetite for risk varies according to the activity undertaken, and that its acceptance of risk is subject always to ensuring that potential benefits and risks are fully understood before developments are authorized, and that appropriate measures to mitigate risk are established where required.

Conservative

For risks that have a *Conservative* risk appetite, the university is willing to accept risks with a risk ranking of 10 or less. If the activity is greater than 10, the risk should be mitigated to reduce the risk ranking below 10. If the mitigation is unable to reduce the risk ranking, the risk should be escalated to the appropriate Vice President for discussion.

		Likelihood/Probability				
		No chance 1	Unlikely 2	Possible 3	Likely 4	Almost Certain 5
Impact	Very High 5	(5)	(10)	(15)	(20)	(25)
	High 4	(4)	(8) ←	(12)	(16)	(20)
	Moderate 3	(3)	(6) ←	(9)	(12)	(15)
	Low 2	(2)	(4)	(6)	(8)	(10) ←
	Very Low 1	(1)	(2)	(3)	m (4)	(5) ←

Action

Monitoring

Balanced

For risks that have a *Balanced* risk appetite, the university is willing to accept risks with a risk ranking of 11 to 16. If the activity is greater than 16, the risk should be mitigated to reduce the risk ranking below 16. If the mitigation is unable to reduce the risk ranking, the risk should be escalated to the appropriate Vice President for discussion.

		Likelihood/Probability					
		No chance 1	Unlikely 2	Possible 3	Likely 4	Almost Certain 5	
Impact	Very High 5	(5)	(10)	(15) ←	(20)	(25)	Action
	High 4	(4)	(8)	(12)	(16) ←	(20)	
	Moderate 3	(3)	(6)	(9)	(12)	(15)	Monitoring
	Low 2	(2)	(4)	(6)	(8)	(10) ←	
	Very Low 1	(1)	(2)	(3)	(4)	(5) ←	

Entrepreneurial

For risks that have an *Entrepreneurial* risk appetite, the university is willing to accept risks with a risk ranking of below 20. If the activity is greater than 20, the risk should be mitigated to reduce the risk ranking below 20. If the mitigation is unable to reduce the risk ranking, the risk should be escalated to the appropriate Vice President for discussion.

		Likelihood/Probability					
		No chance 1	Unlikely 2	Possible 3	Likely 4	Almost Certain 5	
Impact	Very High 5	(5)	(10)	(15)	(20) ←	(25)	Action
	High 4	(4)	(8)	(12)	(16)	(20) ^e ←	
	Moderate 3	(3)	(6)	(9)	(12)	(15)	←
	Low 2	(2)	(4)	(6)	(8)	(10)	←
	Very Low 1	(1)	(2)	(3)	(4)	(5)	←
							Monitoring

A summary of Carleton University's risk appetite against its key risks categories is outlined below:

No.	Risk category	Risk Appetite
1	Strategic	Entrepreneurial
2	Financial viability	Conservative
3	Research	Entrepreneurial
4	Culture and values	Balanced
5	Teaching and learning	Balanced
6	Environmental and social responsibility	Balanced
7	Operational	Conservative
8	Legal	Conservative
9	People	Conservative
10	Technological	Balanced

1) Strategic Risk

Strategic activities are required to develop and expand the university, and to adapt to changes in the regulatory and technology environment and in the nature and the conduct of the university's activities. This will include new infrastructure, courses, research and other initiatives set out in the Strategic Integrated Plan. The university acknowledges such growth activities carry higher risk that need to be managed according to best practice in project and change management. The university considers the risk appetite for strategic risk to be *Entrepreneurial*.

2) Financial Viability Risk

The university aims to maintain its long-term financial viability and its overall financial strength, while also recognising that achievement of its strategic objectives is important to sustain long-term viability. As part of managing its overall financial strength, the university aims to maintain its financial position in line with the financial framework established by the Board of Governors. The university acknowledges that during phases of growth, it will need to accept the risks associated with growth and expansion, such as capital expenditure and increased borrowing. The university considers its risk appetite for financial viability risk to be *Conservative*.

3) Research Risk

The university aims to undertake activities that support research and development and recognises the importance of innovation in this area. The university considers the risk appetite for research risk to be *Entrepreneurial* as it aims to further develop and expand research capacity and productivity and actively pursue cutting edge research. In developing and expanding its research activities, the university will maintain the highest standards of ethics, comply with all regulatory and compliance obligations and ensure that potential benefits and risks are fully understood before developments are authorised and that appropriate measures to mitigate risk are established.

4) Culture & Values Risk

The university aims to support, develop and utilise the full potential of our staff and values a culture of scholarship, discovery, sustainability, engagement, social justice and integrity. To balance these priorities the university may at times need to accept some degree of risk. However, this will be subject to always ensuring that the potential benefits and risks are fully understood before initiatives are authorised and that appropriate measures to mitigate unacceptable risk are established. The university considers the risk appetite for culture and values risk to be *Balanced*.

5) Teaching & Learning Risk

Carleton university promotes and leads in teaching and research that respond to the needs of society today and in the future through a learning environment that fosters and nourishes critical and creative inquiry; knowledge preservation, creation, dissemination and transfer; employability through the development of transferrable skills and intellectual capabilities; and the education of highly skilled and qualified citizens.

The university considers its risk appetite in this area to be relatively *Balanced*. It also realises that at times this will require taking an increased degree of risk in developing programs and the student experience. The university is comfortable in accepting this risk subject always to ensuring that potential benefits and risks are fully understood before developments are authorised and that appropriate measures to mitigate risk are established.

6) Environmental & Social Responsibility Risk

The university aims to make a significant, sustainable and socially responsible contribution to all the communities within which it operates. It recognizes that this may at times involve accepting some degree of risk and is comfortable with this, subject to always ensuring that potential benefits and risks are fully understood before developments are authorised and that appropriate measures to mitigate risk are established. The university considers the risk appetite for environmental and social responsibility risk to be *Balanced*.

7) Operational Risk

The university aims to minimise any losses caused by inadequate or failed internal processes, people, and systems or by external events. Operational risk includes fraud, employment practices, business practices and processes, damage to physical assets, business disruption and systems failures. The university considers the risk appetite for operational risk to be *Conservative*.

8) Legal Risk

The university places great emphasis on compliance, and has no appetite for non-compliance with any legislative, regulatory requirements or professional standards. This includes research ethics, corporate responsibilities and academic requirements. It wishes to maintain its self-accreditation status and professional program accreditations where applicable. The university considers the risk appetite for regulatory and compliance risk to be *Conservative*.

9) People Risk (including health and safety)

The university aims to maintain a stimulating and safe place to work and study. It places a high degree of importance on the health and safety of all faculty, staff, students and visitors and has no tolerance for bullying, harassment or discrimination from staff or students. The University considers the risk appetite for people risk to be *Conservative*.

10) Technological Risk

The university aims to maintain the highest level of security for personal information collected and for the intellectual property created by Carleton University's faculty and students. However, it also understands that Carleton University's IT systems are decentralized to allow for innovative research in areas of information technology and computer science. The university is comfortable in accepting the risks associated with this innovative research, subject always to ensuring that potential benefits and

risks are fully understood and that appropriate measures to mitigate risk are established. The university considers the risk appetite for Technological risk to be *Balanced*.

5.2 Risk Management Processes

Risk management is practiced at all levels of the university, Section 5.2.1 details the Enterprise Risk Manage process. Details on the procedures to conduct an operational risk assessment for individual departments and events can be found in Appendix C of this document. It is recommended that all department conduct an annual operational risk assessment using the process in Appendix C. It is mandatory that all Information Technology and Capital Construction projects complete an operation risk assessment prior to the approval of the project and update the risk assessment periodically throughout the project.

5.2.1 Enterprise Risk Management Process

Carleton University's Enterprise Risk Management Process has been developed based upon the ISO 31000 Risk Management Guidelines. Carleton University's ERM process is integrated into the culture and practices of the institution and tailored to the business practices of the university. Carleton University's ERM process includes the following steps:

- STEP 1** - Scan Internal and External Environment
- STEP 2** - Identifying risks, using a systematic process,
- STEP 3** - Analyze risks by applying defined risk criteria
- STEP 4** - Treat Risks
- STEP 5** - Monitor and Assure

STAGE 1: Scan Internal and External Environment

During this phase the university will articulate its objectives as well as defining the internal and external factors to be considered when establishing the scope and risk criteria for the remaining steps in the process.

STAGE 2: Risk Assessment

Risk Assessment is the overall process of a) risk identification, b) risk analysis c) risk evaluation:

a) Risk Identification

The aim of risk identification is to generate a comprehensive list of risks based on those events that might prevent, accelerate, or delay the achievement of the university's objectives. The risk identification process involves identifying sources of risk, their causes and impact. Risks are identified through several processes, including at the Risk Management Committee, Department/Operational Risk Assessments, Health and Safety Risk Assessments, and interviews conducted by the Director, Risk and Insurance Services.

The risks identified are then documented in the 10 Key Enterprise Risk Register, which identifies the top 10 risks faced by the university. Documentation of the risks include the risk description, identification of factors leading to the risk, and identification of the potential impacts.

b) Risk Analysis

Risk analysis involves the process of understanding the risks identified and provides an input to risk evaluation.

Risk analysis involves rating the risks by determining the impacts of risks identified and the likelihood of them occurring and is a process which is completed by the Risk Committee.

The objective of this step is to prioritize risks into rating levels to enable attention to be focused primarily on higher risks.

Insignificant and minor risks are usually managed through normal operational processes and procedures and may not require further risk management. However, they are important to document for risk analysis completeness.

Risk Likelihood Ratings

Rating risks requires an assessment of occurrence potential. Likelihood refers to the chance of something happening, whether defined, measured or determined objectively or subjectively, qualitatively or quantitatively, and described using general terms or mathematically (such as a probability or a frequency over a given time period). Some risks may occur once in a lifetime; others can be present daily.

Each risk will be rated, in terms of likelihood of occurring, from **No Chance** of occurring to **Almost certain** to occur.

The time horizon used to assess risks should be consistent with the time horizon of the related strategy and objectives.

Table 1 Risk Likelihood Ratings Chart provides general rating descriptions. *See Table 1: Risks Likelihood Chart in Appendix A.*

Use the Risk Likelihood Rating chart as follows:

- 1) Assess the likelihood of the risk occurring within the next 36 months or the time horizon related to strategy or objectives.
- 2) Rate risks considering existing mitigation strategies, (**Residual risk**) which should be grouped into three main categories (prevention, detection and response). When examining the effect of mitigation strategies on the likelihood rating, mainly consider prevention and some detection. For example, we might say the likelihood of a major IT project failing is **Likely**, given the recent history of such projects at other institutions but if we assess the excellent preventative controls in place at the university (e.g. project management) the assessed

likelihood will be reduced at Carleton University, making the likelihood rating **Unlikely**.

- 3) A risk may be provided a Risk Likelihood rating if it is considered likely to occur over a longer term period (more than 36 months) but could have a significant university impact to the university: e.g. a risk that could become significant if not monitored and/or mitigated.

Risk Impact Ratings

Impacts will be assigned to the following categories:

- Strategic
- Legal
- Operational
- Technical
- Financial
- Reputational

Each impact will be rated, in **terms of severity**, from Low to Very Serious.

Risk impact ratings in **Table 2 (Appendix B)** provide rating examples. The highest identified rating should be used in the Risk Ranking.

How to use the Risk Impact Rating Categories and Guidelines chart:

- assess the impact of the risk;
- consider first the main types of impacts that could occur, then rate the risk based upon the most significant impact type;
- rating to the most probable worst case can be challenging and is a learned practice, the most important thing is consistency;
- this approach continually focuses on mitigation strategies, which is vital for effective risk management;
- for each risk, consider mitigation measures as follows:
 - *Prevention* - What measure(s) are in place that will prevent the risk (e.g. security, awareness & training programs, qualified staff, planning, procedures);
 - *Detection* - What measures(s) are in place that will provide notice of a risk (e.g. staff/stakeholder reporting mechanisms, financial reconciliation, fire alarms, audits); and
 - *Response* - If the risk occurs, what measure(s) are in place to mitigate the impact on the university (e.g. contingency plans, backup systems, insurance, and resolution processes)?

Mitigation measures should be assessed collectively for effectiveness as follows:

- Do mitigation measures address the risk effectively?
- Are mitigation measures documented and communicated?

- Are mitigation measures operating and/or applied consistently?

Likelihood and Impact rankings should be adjusted based upon mitigating factors resulting in a residual risk rating using the following principles:

- preventative mitigation measures will primarily affect the likelihood rating;
- detection and response mitigation measures will mostly affect the impact rating;
- as mitigation improves, residual risk is reduced; and
- risks with the highest combination of Likelihood and Impact should always be monitored.

Using Table 3 Risk Rankings Appendix C – Plot the likelihood and impact ratings for the risk as established using Tables 1 and 2 to determine their risk ranking for each risk. Risk Scores are calculated by taking the score for the *Impact* of each risk and multiplying it by the score for *Likelihood*.

c) Risk Evaluation

Risk evaluation involves evaluating the acceptability of the risks against the university's risk appetite statement. Consideration should be given to existing mitigation, the cost of further risk treatment, any policy or legal requirements and other relevant considerations from within the university's context

Risk Ranking:

The Risk Ranking enables each risk on the Risk Register to be ranked and then categorised into one of the following three categories:

Green – (Score 0-10)	<i>Risk Acceptable</i> – No additional mitigation required
Yellow – (Score 12-15)	<i>Risk Acceptable</i> – Additional mitigation may be required in the future
Red – (Score 16-25)	<i>High Risk</i> – Ongoing monitoring and additional mitigation required

STAGE 3: Risk Treatment

After identifying the residual risk, a risk action strategy must be determined. There are five options:

- *Avoidance* (Terminate) - This involves removing the risk source. Action is taken to avoid or terminate activities that create the risk. For example, risk avoidance may involve curtailing a program, process or activity.
- *Reduction* (Treat) - Mitigate or manage the risk. Action is taken to reduce risk likelihood or impact, or both.
- *Transfer* - Sharing the risk with another party or parties. Action is taken to reduce risk likelihood or impact by transferring or otherwise sharing a portion of risk. Common risk-sharing techniques include purchasing insurance, pooling risks, engaging in hedging transactions, or outsourcing an activity.
- *Acceptance* (*Tolerate*) - Retain the risk by informed decision. No action is taken to affect risk likelihood or impact. This could also include taking or increasing the risk in order to pursue an opportunity.
- *Exploiting the risk* - some risks can be exploited, that is a risk has apposite impact on

meeting the university's goals and therefore additional resources should be applied to take advantage of the opportunities provided.

Multiple strategies can be employed for one risk. For instance, insurance may be purchased to reduce risk impact and control procedures may be implemented to reduce likelihood.

Risk Mitigation Plans

By completing a risk mitigation plan, the university will establish accountability and ensure that risk management becomes each department, faculty and staff member's responsibility.

Risk mitigation plans provide a reporting mechanism to user groups. Plans are frequently flexible, allowing for continual updating and reassessment as risk mature, likelihood and/or impact change.

To ensure mitigation plans are actioned, senior management is responsible as follows:

- allocate risk mitigation responsibilities;
- approve or allocate resources;
- establish timelines;
- report back agreed actions and dates to the Director, Risk and Insurance;
- require an escalation process where appropriate.

All options should be considered when developing a mitigation plan. Cost and potential benefits should also be assessed.

It is often appropriate to combine mitigation measures. Risk responses may be specific to one risk or may address a range of risks.

Following successful completion of the risk mitigation plan, the risk's likelihood and impact should be reassessed in light of the strengthened mitigation.

Risk Owners

Each risk will be assigned to a risk owner who will:

- ensure mitigation plans are enacted;
- resolve issues that may affect successful implementation; and
- provide status reports on risk mitigation plans to the Director Risk and Insurance Services.

STAGE 4: Monitoring and Review

Both monitoring and review should be a planned part of the risk management process and involve regular checking or surveillance.

The university's risk monitoring and review processes should ascertain that controls are effective and efficient in both design and operation. To achieve this goal the Director, Risk and Insurance Services shall:

- obtain further information on peer risk management processes to improve risk management processes;
- analyze and learn lessons from events, changes, trends, successes and failures;

- detect changes in the external and internal context, including changes to risk criteria and the risk itself which can require revision of risk treatments and priorities; and;
- identify emerging risks.

To ensure management of risk remains effective and continues to support Carleton University's Strategic Integrated Plan, ongoing monitoring of the ERM process is undertaken. The following mechanisms are used to provide information on the effectiveness of the Framework:

- various activity reporting generated from operational departments;
- review and feedback from external stakeholders or regulators;
- feedback from the Audit and Risk Committee, Senior Executive and faculty and staff;
- informal and formal, solicited and unsolicited comment from stakeholders;
- formal periodical review performed by the Director, Risk and Insurance Services using industry standards and a maturity model and
- Internal Audit reviews and findings.

STAGE 5: Communication and Consultation

Reporting Structure for the Enterprise Risk Management Process

As part of a strong governance framework and to support risk management at Carleton University, the timely and meaningful reporting of risk information is critical. The reporting of key Enterprise risks support decision-making and ensures risks are being managed in line with the Risk Management Framework.

Risk management reports are carefully adjusted to the needs of risk information users. Information must be concise, unambiguous, standardized, and consistent and integrated with existing reporting processes.

Appendix D Table 5 - identifies users, user needs, report types and report distribution procedures.

2.6 Performance

The success of the Risk Management Framework will be evaluated by the university's performance in the following indicators:

- the Board of Governors is provided with an annual report on the Enterprise risks facing the university;
- risk assessment and management policies and procedures are developed and implemented across the university and controlled entities;
- relevant managers and staff receive appropriate training in risk assessment and management; and
- a risk assessment and management plan is developed for all major activities, including all commercial activities.

2.7 Review

This framework will be reviewed at least every three (3) years.

Appendix A

Table 1- Risk Likelihood Rating

Frequency	Risk Probability
Almost Certain 5	81-100% Quite Probable the risk will occur
Likely 4	61-80% More Likely than not this risk will occur in the next 36 months
Possible 3	41-60% Somewhat Likely this loss will occur in the next 36 months
Unlikely 2	21-40% Low possibility this risk will occur in the next 36 months
No Chance or Rare 1	1-20% Very low possibility this risks will occur in the next 36 months

Appendix B
Table 2- Risk Impact Rating

Risk Matrix							
Score	Impact of Risk	Strategic	Legal	Operational	Technological	Financial	Reputational
5	Very Serious	Activity does not support any pillar in Strategic Plan or other Strategic planning documents or policies	Potential for major litigation Termination of Contracts for Default Criminal charges for on compliance of regulation	Activity has potential for internal/external fraud, injury to students or workers, damage to physical assets, business disruption, changes to processes	Requirement for major change to Enterprise IT system or significant upgrade to several Faculty/Department significant IT systems. Create single point of failure to critical system(s). Requires collection of large amount of personal data (i.e. whole community)	Financial exposure of activity is \$4,000,000 and up	Growing Significant coverage in National, International and Social Media
4	Serious	Activity supports one of the Pillars in the Strategic Plan and one other planning document or policy	Potential for single major or numerous moderate litigations. Potential for increase for	Activity has potential for injury to students or workers, damage to physical assets,	Requirement for significant change to Enterprise IT system or several Faculty/Department IT systems. Requires	Financial exposure of activity is between \$3,000,000 and \$4,000,000	Wide Coverage in National and Social Media

			default of contract or increased assumption of risk assumed under contract. Potential for fines and orders under regulation	business disruption, changes to processes	collection of significant amount of personal data (i.e. all students or large research sample)		
3	Moderate	Activity supports two of the Pillars in the Strategic Plan and two other planning documents or policies	Single moderate litigation or numerous small litigations. Contract terms provide some form of indemnity for the university but not completely reciprocal. Potential rescinding of licenses required by regulation	Activity has potential for damage to physical assets, business disruption, changes to processes	Requirement for changes to several Faculty/Department IT systems. Requires collection of data from several group of 2000 or less	Financial exposure of activity between \$2,000,000 and \$3,000,000	Some coverage in Regional Media (but controlled) and low level of coverage in social media
2	Minor	Activity supports three of the Pillars in the Strategic Plan and two other planning documents or policies	Single minor litigation Reciprocal indemnity included in contract Minimum compliance with regulation	Activity has potential for damage to physical assets, changes to processes	Requirement for changes to one Faculty/Department IT system Requires collection of data from one group of 1000 or less	Financial exposure of activity is between \$1,000,000 and \$2,000,000	Minor coverage in local and social media

1	Low	Activity supports all four of the Pillars in the Strategic Plan and two other planning documents or policies	Threat of litigation required small payout Indemnity clause fully in favour of the university. Risk fully transferred university exceeds requirement for compliance under regulation	Activity has potential for changes to processes	No IT system changes required No collection of personal data	Financial exposure of activity is between 0 and \$1,000,000	No mention in any news or social media
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Appendix C
Table 3- Risk Ranking Table

	Likelihood/Probability					
	No chance 1	Unlikely 2	Possible 3	Likely 4	Almost Certain 5	
Impact	Very High 5	5	10	15	20	25
	High 4	4	8	12	16	20
	Moderate 3	3	6	9	12	15
	Low 2	2	4	6	8	10
	Very Low 1	1	2	3	4	5

Appendix D
Table 4 - User Reports

User Group	User Needs	Report Types	Timing
Board of Governors	Top 10 Risks	<ul style="list-style-type: none"> ○ Top 10 Enterprise Risks Heat Map ○ Top 10 Enterprise Risk Report ○ Top 10 Key Enterprise Risk Registry 	At least annually
Audit and Risk Committee of the Board of Governors	Top 10 Risks	<ul style="list-style-type: none"> ○ Top 10 Enterprise Risks Heat Map ○ Top 10 Enterprise Risk Report ○ Top 10 Key Enterprise Risk Registry ○ 	At least annually
Senior Management	All Risks	<ul style="list-style-type: none"> ○ All Reports 	Quarterly
Risk Owners	All risks under their control	<ul style="list-style-type: none"> ○ Detailed mitigation plans 	As required

Appendix E Report Templates

Top 10 Enterprise Risks Heat Map

Risk Score 0-10	<i>Risk Acceptable</i> – No or minimal risk treatments required.
Risk Score 11-17	<i>Risk Acceptable</i> – Close monitoring on risk is required – Additional Risk Treatment may be required in the future
Risk Score 18-25	<i>Risk Unacceptable</i> – No Risk Treatment in place or Risk Treatment is immediately required

	Likelihood/Probability					
		Very Low	Low	Moderate	High	Very High
Impact	Very High 5					
	High 4					
	Moderate 3					
	Low 2					
	Very Low 1					

Top 10 Enterprise Risk Assessment Summary

	Risk Category	Likelihood	Impact	Risk Score
FIN	Financial Sustainability			
CAP	Capital Asset Management			
HWS	Student Staff Health Wellness and Safety			
RRG	Management of Student Recruitment Retention and Graduation			
CRL	Compliance Regulation Legal Requirements			
IMS	Information Technology Security			
TEC	Technology Enablement			
INT	Internationalization Strategy			
RRT	Recruitment Retention & Fostering Talent			
RES	Research Capacity and Funding			

Top 10 Enterprise Risk Report 2019

	Risk	Risk Factors	Risk Description
FIN	Financial Sustainability	<ul style="list-style-type: none"> • Uncertainty of Provincial Government funding model and future tuition fee framework – 60% of Government grant based on meeting SMA3 Key Performance Indicators • Uncertainty around details and implementation of KPI's in Strategic Mandate Agreement³ • Increasing competition for students • Solvency requirements for Carleton University Pension Plan • Uncertainty regarding opt out for student fees and increase demand for university to fund existing CUSA/GSA services • Uncertainty of funding and financial viability of ancillary programs (Football program, Dominion Chalmers Centre) 	The potential that the university will not generate enough revenue increases and/or cost savings necessary to maintain its financial viability.
CAP	Capital Asset Management	<ul style="list-style-type: none"> • Reduced life span of infrastructure because of climate change • Inefficiency of systems resulting in increased costs • Aging underground infrastructure • Lack of resiliency in response to Hazard risks • Audit score on facility condition report below average for equivalent size universities 	The risk that the university is unable to plan and provide for new capital investments or maintain its existing assets to meet its current and future needs.
HWS	Student Staff Health Wellness and Safety	<ul style="list-style-type: none"> • Rise in mental health issues for students and staff • Increased awareness of sexual violence and harassment • Failure to maintain infrastructure resulting in injuries to students and staff • Improper management of hazard materials • Failure to ensure staff and students take mandatory Health & Safety training • Inadequate attention and resources paid to recommendation of JOHC and insurers recommendation • Increasing regulatory obligations under OHSA, Environmental and other regulation • Legalization of cannabis leading to increase use on campus 	The risk that the health, wellbeing and safety of students and staff is compromised when the university would reasonably be expected to have responsibility.
RRG	Management of Student Recruitment Retention and Graduation	<ul style="list-style-type: none"> • Corridor based funding model • Many of SMA3 Key Performance Indicators are related to this risks • University's reputation • Competition for students • Entrance requirements • Poor student services and facilities 	The potential to not meet enrolment, retention and completion targets while ensuring student academic quality, student access goals and

		<ul style="list-style-type: none"> • Public perception of usefulness of post secondary education • Teaching quality and standards • Range and structure of courses • Provincial Government changes to OSAP and Graduate funding 	international student goals.
CRL	Compliance Regulation Legal Requirements	<ul style="list-style-type: none"> • Increasing level of government oversight and policy affecting PSE sector • New regulations regarding procurement of goods from Provincial Ministry • New Construction Act and prompt payment regulations • Ability to identify applicable regulation • Increasing privacy regulation and cross border exposures • Process for identifying and confirming compliance 	The potential for failure to identify and comply with enacted regulation and legal requirement and government policy.
IMS	Information Technology Security	<ul style="list-style-type: none"> • Loss of confidential information and data • Ongoing attacks by criminal elements • Use of cloud-based software and vendors • Decentralized network and server infrastructure • Continuous growth of IT on campus • Level of government regulation and industry standards (PCI, GPDR) increasing • Level of resources • Denial of Service threats • Inadequate Disaster Recovery Plan and Business Continuity Plan 	The potential for a failure in the confidentiality, integrity or availability of information.
TEC	Technology Enablement	<ul style="list-style-type: none"> • Increase volume of IT on campus • Decentralized IT model • Lack of adequate resources to keep up with demand for new technology while maintaining existing systems • Inability to maintain legacy systems 	The risk the university does not plan for and maximize the benefits of existing and future technologies to enable the achievement of its strategic goals.
INT	Internationalization Strategy	<ul style="list-style-type: none"> • Inadequate support for internationalization • Diplomatic relations between Canada and countries where Carleton has existing relationship and programs • Health and safety of staff and students while abroad • Failure to diversity the countries where we attract international enrolment 	The risk that the university does not successfully achieve the university's internationalization strategy to provide our students with a variety of opportunities to be

			knowledgeable, active citizens in a global community and build international academic and research relationships to secure the desired international recognition in the increasingly global world.
RRT	Recruitment Retention & Fostering Talent	<ul style="list-style-type: none"> • Adequacy of compensation for non- unionized employees • Labour relations and collective bargaining • Potential intervention by Provincial government to freeze or restrict compensation. • Demographic composition of workforce • Issues of Mental Health and Workplace Violence and Harassment 	The risk that the university does not provide the total compensation package and work environment to attract, develop and retain the right people for the right position.
RES	Research Capacity and Funding	<ul style="list-style-type: none"> • Inability to successfully apply for research funding • Level of support from Provincial and Federal Government • Support from private sector to build research partnerships • Demographics and level of interest of faculty • Adequacy of facilities to support research enterprise 	The risk the university fails to grow the required levels of funding to achieve its goal as a highly reputable research-intensive university.

10 Key Enterprise Risk Register 2019

Risk Code	Risk Issue	Risk Owner	Board of Governors Committee Responsible	Risk Trend	Treatment Progress Status	Risk Treatment	Date of Last Review Update
FIN	Financial Sustainability	Provost and Vice-President (Academic) Vice President (Finance and Administration)	Finance Committee	 Increasing	 On Track	<p>Although the university's financial position is satisfactory at present, the 2019/20 budget is projecting \$15.9 million decrease in tuition revenue due to projected enrollment and the Provincial Government mandated 10% decrease in tuition fees for 2019/20. The future level of government grant funding is uncertain as 60% of this funding will be based on the achievement of Key Performance indicators established in SMA3. To mitigate this risk the university continues to have a conservative budget model with conservative assumptions for both revenue and expenses. In addition, the 2019/20 Operating budget implemented a 2 percent decrease in base budgets, while increasing international enrollment fees 3 to 8 per cent. To compensate for the decrease in tuition revenue \$1 million will be transferred from the Ancillary Capital Fund in 2019/20.</p> <p>At the same time, efforts are being made at all levels to contain costs and find new sources of revenue. One initiative in faculties is to develop new non-credit programs, like Sprott School of Business and its Professional Development programs. Costs reduction initiatives such as integration of digital technologies and sustainable infrastructure</p>	May 2019

						will be introduced and contribute to efficiencies and financial sustainability.	
CAP	Capital Asset Management	Vice-Principal (Finance & Administration)	Building Program Committee Finance Committee	 Increasing	 On Track	<p>Factors such as growth in enrolment and the effects of climate change have accelerated the deterioration of the buildings and underground infrastructure on campus. Although the additions of new buildings such as the Health Sciences and Arise building lower the average deferred maintenance cost per building, twenty-one of the university buildings are over 50 years old and require substantial maintenance (17 buildings rank poor in FCI rating), while the steam distribution system is nearing end of life. The university's other areas of concern include underground infrastructure and the original athletics complex and pool which are nearing the end of their projected life span.</p> <p>To mitigate this risk the university has invested over \$49 million in Capital Renewal over the period 2015 to 2019. Facilities Management and Planning initiated a system model audit in 2018, which will provide a more accurate assessment of the condition of buildings and infrastructure on campus. From this report, a risk-based Asset Management plan will be developed, which will allocate funding to buildings and infrastructure with the greatest risk of failure. In addition, the university commissioned a report to examine the state of the Athletic Centre and Pool and as a result, discussions on alternative plans for the facility are taking place. The completion of the Cogeneration plant will provide improved resiliency for power and heat on campus and will mitigate the risk of power and heat</p>	May 2019

						outages. A review of the university's flood plan and other proactive maintenance activities are planned in the coming year.	
HWS	Student Staff Health Wellness and Safety	Provost & Vice-President (Academic) Vice President (Finance and Administration) Vice President (Student and Enrollment)	Executive Committee	 Stable	 On Track	Ensuring the health and safety of our students and staff continues to be of critical importance to the university. With respect to student health, we continue to improve services and programs wherever possible, and to ensure that resources are allocated to the areas of highest need. An example of this commitment was the addition of 3 new counsellors and the recruitment of 3 new psychiatrists by Health and Counselling Services in 2018/19. A revised Sexual Violence policy was recently approved by the Board of Governors and will promote more awareness around sexual violence and the internal supports available. In addition, the university's Workplace Violence and Harassment Program has been updated, with refreshed training provided to employees on the topics of violence and harassment in the workplace and incident reporting. Student and employee mental health continues to be a high priority. Carleton is a leader in the post secondary sector for providing proactive assistance to students in need. The Student Mental Health Framework helps identify students in need and provides the tools to ensure they receive help as early as possible. Carleton's Healthy Workplace program deems employee mental health as a key goal. Through wellness orientated training, activities and the promotion of work/life balance it is the program's goal to improve both the physical and mental health of employees.	May 2019

						<p>The university's Joint Occupational Health and Safety Committee provides an invaluable service in ensuring Carleton's workplaces are safe by doing annual inspections of all buildings and bringing Health and Safety issues to management's attention. In addition, the Environmental Health & Safety Department has facilitated identification of workplace hazards through its Worksafe software solution and good catch program. Both have led to a quicker response to unsafe conditions.</p> <p>Student engagement is key to ensuring our students are safe during their academic, research and social activities. Carleton's efforts in student engagement is a basic pillar to manage risks around student activities. Education and prevention strategies have been put in place, for sexual violence, alcohol, cannabis and fentanyl use. A risk management process is in place to review all events involving students, on and off campus.</p>	
RRG	Management of Student Recruitment Retention and Graduation	Vice President (Student and Enrollment)	Finance Committee Advancement and University Relations Committee	 Increasing	 On Track	<p>With the current corridor funding model strategic enrolment planning is essential for managing this risk. Carleton's enrolment strategic plan has been refreshed to respond to current enrolment management challenges and is integrated with the budget planning process. The Enrollment Management team continually monitors competitor's programs, and recruitment teams have developed outreach program and promotional material to attract potential students (both domestic and international). International recruitment efforts are diversified so as not to be dependent on anyone country thus minimizing</p>	May 2019

						<p>the geo-political risk factor. The ELBA funding model encourages recruitment efforts from faculties, while the implementation of the new CRM software enables effective student engagement and communication with new and existing students. A stringent quality assurance program and accreditation ensure programs and courses available to students meet or exceed industry standards.</p> <p>Graduate recruitment is spearheaded through Faculties and Departments with the support of the Faculty of Graduate Students and Recruitment.</p>	
CRL	Compliance Regulation Legal Requirements	Provost and Vice- President (Academic) Vice President (Finance and Administration) Vice President (Student and Enrollment) Vice President Research and International	Audit and Risk Committee Executive Committee	 Stable	 On Track	<p>Increased government regulation and the potential for large class action lawsuits for failure to educate or environmental liabilities and liability assumed as part of research activities continue to pose both financial and reputational risks on the university. Proposed changes to Provincial procurement regulation and recent changes to regulations affecting the labelling of hazardous material could have future financial impacts on the university.</p> <p>To mitigate these risks university management, legal and risk management continually monitor government policy, industry sources and legal precedent to identify areas of potential risk. University policies recently adopted to comply with provincial regulation include the sexual violence policy and the free speech policy. The revised Signing Authority policy ensures that contracts entered into by the university comply with Privacy and Data Security regulations, including Payment Card Industry</p>	May 2019

						standards. The Department of Environmental Health & Safety and Research Services ensures compliance with Hazardous material and Controlled Goods regulation. This risk continues to put pressure on resources as regulation and litigation increase with no new revenue to support compliance efforts.	
IMS	Information Technology Security	Vice-President (Finance & Administration) Vice President (Research and International)	Audit and Risk Committee	 Increasing	 On Track	The open culture of a university environment increases the likelihood of cybersecurity risk and there continues to be a significant increase in cyber threats on our systems. The university continues to put financial resources toward mitigating these risks. Some key mitigation measures introduced include the implementation of DUO Two-Factor Authentication to protect system accounts from illicit login attempts. Enhancements to the data centre design allows for both data centres to be protected by a common fire wall. While newly purchase software provide better tracking and reporting of security vulnerabilities. The updated Signing Authority policy implemented risk and legal reviews of contracts with vendors whose services are cloud based or collect personal data. These reviews include examinations of the privacy and security of products purchased. In addition, vendors are required to attest they comply with industry standards for IT security and protection of personal information.	Mar 2017
TEC	Technology Enablement	Provost and Vice-President (Academic) Vice President (Finance and Administration)	Audit and Risk Committee	 Increasing	 On track	In today's digital age ever increasing demand for new and expanded IT Services for academic, research and administrative services place ever increasing demands on the central ITS department. This ongoing demand for new and innovative Information	May 2019

		Vice President (Student and Enrollment) Vice President (Research and International)				<p>Technology will continue to require new resources to support the IT needs of faculty and students.</p> <p>ITS has supported student's IT needs by upgrading, five key components of the university's wireless network. In addition, members of ITS worked with the Registrar Office to launch the Carleton Academic report and is collaborating with the Educational Development Centre on upgrading CU Learn and exploring possibilities of a new learning management system. A further step to improve IT capabilities from a Student and Administrative perspective is the ongoing upgrade to the Enterprise IT software (Banner 8 to Banner 9) The introduction of a new Travel and Expense software will improve efficiencies in processing all payments.</p> <p>ITS has provided increasing support to the Research enterprise over the last few years, with the establishment of dedicated resources to assist researchers integrate their systems into the Carleton IT environment and to analyse new potential software and hardware opportunities in research and academic computing. A plan is in place to substantially increase data storage to provide researchers the necessary capacity to process big data.</p>	
INT	Internationalization Strategy	Provost & Vice-President (Academic) Vice President (Finance and Administration)	Advancement & University Relations Committee Executive Committee	 Increasing	 On Track	We continue to advance towards our goal of developing our students into Global Citizens and enhancing our International reputation by growing our international academic and research partnerships. As we grow our internationalization efforts, we increase the risks of not providing adequate supports to	May 2019

	<p>Vice President (Student and Enrollment) Vice President (Research & International)</p>				<p>students and staff to encourage study abroad and enter into international collaboration. With the changing geopolitical climate both students and staff are increasingly at risk of illness or injury while travelling abroad. These same external factors affect our recruitment of international students and raises the uncertainty around international exchanges and field courses.</p> <p>In January 2019 a study on how Carleton University supports its internationalization efforts was completed by the Director, Risk and Insurance Services. A key recommendation of the report was to retain a service provider who could assist in pre-trip education, on the ground support and real time communication for those travelling abroad. This recommendation has been implemented through the signing of a service agreement with International SOS. ISOS provides support for the Carleton community by providing pre trip risk assessments, on the ground support for medical, political and mental health issues. As of May 1, 2019 over 400 students and staff have taken basic travel risk management training, and Carleton stakeholders are working together to develop a more advanced travel risk management course, with in class and online modules. In addition, the Advisory Committee on Internationalization has been created and has been tasked with developing an Internationalization Strategic plan. The university continues to try to diversify its international enrollment by using internal resources and International recruitment</p>	
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						consultants, to recruit students from a wide range of countries to achieve this goal.	
RRT	Recruitment Retention & Fostering Talent	Provost and Vice President(Academic) Vice-President (Finance & Administration	Executive Committee	 Increasing	 On Track	<p>Ensuring the right people are in the right position at the right time is essential for Carleton to meet its strategic goals. Major risks to meeting this objective are compensation for non-unionized staff and amicable relations with the union staff on campus.</p> <p>To minimize these risks, the university has undertaken a review of compensation and pay equity for non-unionized staff and is working with CUPE 2424 on a Job Evaluation project. These projects will provide standardized job descriptions and a revised job evaluation process. In addition, the university as part of the most recent CUPE 2424 and CUASA collective agreements has worked with all unions to form the Joint Pension Review Committee. Finally, the university successfully negotiated collective agreements with CUASA and CUPE 910 and 3778. However, the upcoming negotiations with CUPE 4600 units 1 and 2 increase this risk in the near term.</p> <p>To mitigate this risk further a new recruitment strategy is being developed to identify and foster talent. Successful tools such as Carleton Leader and the Learning and Development program will be the basis of this framework. Carleton's Healthy Workplace strategy and its focus on mental health is another treatment which minimizes this risk.</p>	
RES	Research Capacity and Funding	Vice-President (Research and International)	Executive Committee	 Stable	 On Track	Research funding can fluctuate from year to year depending on overall Carleton grant funding success rates, economic conditions,	May 2019

		Provost and Vice President (Academic)	Finance Committee		<p>award cycles, and the number of funding applications submitted. Renewal of the faculty base and the engagement of existing faculty are key factors for reaching Carleton's research goals. The change in the Provincial government may further threaten the level of research funding from this level of government</p> <p>Carleton has dramatically increased its research funding over the period 2016/17 to 2017/18. This achievement can be attributed to the restructuring of research support services which created better supports for researchers both during the application process and post award. Installing research facilitators in each faculty also has created the support and environment necessary to encourage faculty to engage in new and innovative research. The provision of new research facilities such as the Health Sciences, Arise and Nicol Buildings will make it easier to attract new researchers. Government funding is trending towards multi-disciplinary research and as a result, it is imperative that Carleton be ready to take advantage of these opportunities. To facilitate the creation of interdisciplinary teams at Carleton and to take advantage of research funding in this area, the Office of the Vice President Research and International has created the Multi-Disciplinary Research Catalyst Fund to provide initial funding to establish inter disciplinary teams at Carleton.</p> <p>Carleton continues to build partnerships with the private sector to enhance its research funding activities, however contractual</p>	
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						relationships with these partners can pose their own risks. To minimize the Universities exposure the Signing Authority policy provides a protocol to review funding agreements so that potential risks are identified before accepting funds from partners or entering into agreements for research which could adversely affect the institutions reputation.	
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Appendix F

1.0 Guidelines on How to Perform an Operational Risk Assessment (Department, Project, Event etc.)

The guidelines that follow should be used to implement a Departmental or Project specific risk assessment. It is the responsibility of the Department Head or Project Manager to determine the life cycle of the Risk Management Process for the Department or Project. (For example, the Manager of a Department may wish to go through the process monthly or semi-annually, while a project manager may see the need to do it bi-weekly).

1.1 Identify Departments Goals

The first step is to identify the unit's or project's principal goals and objectives, and the critical success factors to achieve them. What are the key things that must be done in order to accomplish objectives? Objectives include operational objectives (e.g., pay all employees the correct amount on time) as well as compliance objectives, such as compliance with laws and regulations (e.g., Occupational Health and Safety legislation).

1.2 Risk Identification

Second, identify the risks that are the potential causes of failing to achieve the goals and objectives. Examples of risks are: loss of program accreditation, non-performance of research contracts, destruction of important paper or electronic files without backup, sudden loss or destruction of physical assets, occurrence of events, contracts or damages in excess of amounts insured, loss of an important source of income, large over-expenditures, invalid data on file and an information systems crash. Significant risks should be identified even if insured. Major risks to your department go in the first column of the Risk Assessment Worksheet.

(Appendix A).

The second column of the Risk Assessment Worksheet asks for risk factors. Risks arise from external and internal factors. External factors include government funding; changing student and customer needs and expectations; competition; new legislation and regulations; technological developments; and economic changes. Internal factors include disruption in computer processing; employee competence, training and motivation; and change in key personnel. A knowledge of risk factors assists in identifying important risks.

1.3 Risk Analysis

The third step involves risk analysis, which is estimating the significance of a risk in terms of the impact on the department, project or the university and assessing the likelihood of the risk occurring (column three AND four). In practice, one estimates the significance of a risk when it is identified in order to discard insignificant risks immediately; otherwise the list of risks could be infinite. Potential losses should be quantified in financial terms whenever possible. The likelihood or probability of a significant risk occurring is also assessed. A risk that does not have a significant impact on the department, project or university and has a very low likelihood of occurrence does not warrant serious concern. Very high risks with a high likelihood of occurrence do warrant concern.

For risks which have been identified previously indicate in Column 5 “Risk Increase/Decrease” column if the risk has increased or decreased since the last reporting period and the reasons for the change.

Use Table 1 Risk Likelihood Ratings Chart and Table 2 Risk Impact Rating to score each risk on its likelihood of occurring and its impacts on the department or project.

1.4 Risk Evaluation

Risk Scores are calculated by taking the score for the highest *impact category* of each risk and multiplying it by the score for *likelihood*.

Risk Ranking:

The Risk Ranking enables each risk on the Risk Register to be ranked and then categorised into one of the following three categories:

Green – (Score 0-10)	<i>Risk Acceptable</i> – No additional mitigation required
Yellow – (Score 12-15)	<i>Risk Acceptable</i> – Additional mitigation may be required in the future
Red – (Score 16-25)	<i>High Risk</i> – Ongoing monitoring and additional mitigation required

All risks identified as significant risks that are beyond the ability or authority of the Department or Project to mitigate must be reported to the appropriate Director and/or Vice President.

1.5 Risk Treatment

The next step in risk assessment is consideration of how the risk should be managed. What actions are being taken or need to be taken to reduce the significance and/or likelihood of the risk occurring? What are the costs involved? What level of risk is acceptable to management? Actions taken or that need to be taken are reported in the column 6 “Action Taken to Manage Risk.” The manager or academic leader should assign to staff or project personnel responsibility for carrying out the actions needed to mitigate the risk, and have them report the results of the actions taken

1.6 Reassessment

The final step is to reassess risk at appropriate intervals by following steps one through five.

1.6 Reporting

A copy of the Operational risk assessment must be submitted to the Director, Risk and Insurance Services so it can be used as an input into the Enterprise Risk Assessment process.

2.0 Risk Assessment Questionnaire

1. What is the Mission/Purpose of the unit? What are its principal goals and objectives?
2. What is of most concern to you regarding the attainment of the unit's goals and objectives?
3. For each of the unit's principal goals and objectives, identify events or circumstances that may interfere with or prevent its achievement. Consider:
 - a) Have there been changes in external factors such as laws and regulations?
 - b) Have the terms of contracts changed? Are contracts up for renewal? If a contract is not renewed, is a contingency plan required, and if so, is there one?
 - c) Have there been changes in key personnel during the past year?
 - d) Has there been high staff turnover in the past few years?
 - e) Has the staff received appropriate training?
 - f) Are the unit's business processes simple and routine or complex and non-routine?
 - g) Are procedures and processes documented, i.e., procedure manuals?
 - h) Have other units in other organizations failed to accomplish similar objectives? Why?
 - i) Have there been changes in information systems in the past year?
 - j) Has the unit taken on new activities? Has there been internal restructuring?
 - k) Does the unit have a contingency plan if there were a major disruption in provision of services, e.g., all staff on leave of absence, information systems crash, and permanent loss of facilities or key personnel, all paper records destroyed?
4. What risks have increased or decreased during the past year? Why?

3.0 Operational Risk Assessment Example for Capital Construction Project

The university decides to build a new addition to the Mackenzie Building and an operational risk assessment is required as per the Enterprise Risk Management Framework.

Step 1 – First step of the operational risk management process is to determine the projects goals

The goal for the project is to have the extension completed on time and on budget and when completed to provide more student space.

Step 2 – The second step is to identify the risks which could prevent the project from being completed on time, on budget and have the new space meet the needs of students. To identify risks conduct a brain storming session with the project team to identify all possible risks to the project in column 1 list all risks identified and in column 2 list some of the risks factors which contribute to the risk. (See example below).

Step 3 – The third step is risk analysis. Using the Likelihood Chart in Appendix A establish the Likelihood of the risk occurring (for the risks identified). In the example below, the first risk identified is the land where the new extension is to be built is contaminated. The likelihood for this risk to occur is determined to be possible, as the land was previously used as a dump. Then using the Impact Chart in Appendix B rate the impact of the six impact categories listed. On the example risk register below each impact category has been rated using the chart with highest rated impact was on the Operational category.

Step 4 – The fourth step is evaluating the risk. This step involves ranking the risks identified using the likelihood score and the impact score to obtain the risk score. For the contamination risk in the example, the likelihood rating is 3 or Possible and the highest Impact ratings are in the Operation and Legal categories with a score of 4 or serious. Multiply the Likelihood score (3) by the highest risk impact score (4) to obtain a risk score (12) for each risk. Rank the risks using the risk score from the highest to lowest. Indicate the trend of the risk, is it increasing or decreasing from the previous reporting period. In the example risk register below no trend is indicated as this is an initial risk assessment.

Step 5 – The fifth step is to develop a risk treatment plan to reduce the frequency and/or impact of the identified risks. In the example below the highest ranked risks are site contamination and steel costs. The risk treatment for the contaminated land risk was to ensure that the drilling of test holes will follow industry standards. For the steel price risk, the risk mitigation plan is to arrange for a fixed price contract with the steel supplier. Each risk treatment should be documented in the last column of the risk registry.

Step 6 – Is the reassessment of the risk after the mitigation measures have been implemented. Steps 2 through 5 should be repeated after a predetermined period so that risks are continuously evaluated and addition risk treatments are applied where necessary.

For additional information on how to complete a department or project risk assessment contact the Office, Risk and Insurance Services.

3.1 Operational Risk Assessment Example Results for Capital Construction Project

Risk Identified	Risk Factors	Likelihood	Impact						Risk Score Likelihood X Impact	Risk Increase/ Decrease	Action Taken to Manage Risk
			Strategic	Legal	Operational	Technological	Financial	Reputational			
Contaminated project site	Contaminates were dumped on site 50 years ago. Geo-technical consultant did not drill sufficient test holes to identify contaminants	3 Possible	1 Low	4 Serious	4 Serious	1 Low	1 Low	3 Moderate	12	None	Approach to soil sampling will follow industry standards.
Steel costs rise above budgeted costs	Trade tariffs place on steel from outside Canada. Strike at company to provide steel.	3 Possible	1 Low	1 Low	4 Serious	1 Low	4 Serious	2 Minor	12	None	Enter into fix cost contract with supplier. Changing design to reduce amount of steel used in building.
Possible delay is obtaining exterior brick	Kiln which produces brick damaged by fire strike at supplier.	2 Unlikely	1 Low	2 Minor	4 Serious	1 Low	4 Serious	2 Minor	8	None	Contingency plan is to order different brick to match.

Appendix A

Department/Project: _____

Prepared by: _____

Operational Risk Assessment Worksheet *Confidential*

Risk Identified (1)	Risk Factors (2)	Likelihood (3)	Impact (4)					Risk Increase/Decrease (5)	Action Taken to Manage Risk (6)
			Strategic	Legal	Operational	Technological	Financial		



Carleton University Board of Governors

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

For the 2020/21 Board Year

Call for Expressions of Interest

The Carleton University Board of Governors is seeking **Expressions of Interest** from students to be a candidate to fill **FOUR** vacant positions as a **Student Governor** for the 2020/2021 Board Year.

The following positions are vacant:

- TWO UNDERGRADUATE STUDENTS
- TWO GRADUATE STUDENTS

The students selected by their respective student bodies to be considered for nomination to the Board, and once confirmed will serve a ONE YEAR TERM for the period of July 1, 2020 to June 30, 2021.

Interested in becoming a Student Governor?

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

1. Meet Eligibility Requirements to be a Student Governor as set out in the [Bylaws](#);
2. Attend ONE of two **Board 101** sessions hosted by the University Secretary; and
3. Complete the online **Expression of Interest** form no later than 4 p.m. on **Friday, January 17, 2020**.

Following this process, the names of eligible candidates will be presented for a vote by the respective student body (undergraduate and graduate) on February 3 and 4, to determine which undergraduate and graduate students will be presented for nomination to the Board. The election of the successful Student Governor candidates will take place at the June 2, 2020 meeting of the Board of Governors.

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

IMPORTANT DATES AND DEADLINES

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

IMPORTANT DATES

Wednesday, January 8	Call for <i>Expressions of Interest</i> begins
Monday, January 13	Board 101 Mandatory Information Session from 12pm to 1pm in Room 2440R Richcraft Hall* (note only have to attend ONE of these sessions- either Jan. 13 or 15)
Wednesday, January 15	Board 101 Mandatory Information Session from 12pm to 1pm in Room 2440R Richcraft Hall* (note only have to attend ONE of these sessions- either Jan. 13 or 15)
Friday, January 17	Deadline for Submission of <i>Expressions of Interest</i> (4pm)
Monday, January 20	Validation of Student <i>Expressions of Interest</i> and Confirmation to Students Regarding Eligibility to Proceed
Monday, January 20	Candidates will be notified if they are eligible to continue in the Candidate Selection Process
Monday, January 20 to Sunday, February 2	Campaigning Period
Monday, February 3	Online Voting Begins (link is activated at 10 am)
Tuesday, February 4	Online Voting Ends (link is deactivated at 10 pm)
Wednesday, February 5	Tabulation of results of Candidate Selection Process and Announcement of Successful nominees
Tuesday, June 2	Election for Student Governors at meeting of the Board of Governors

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

ELIGIBILITY CRITERIA TO BECOME A STUDENT GOVERNOR

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

- Be of eighteen (18) years of age
- be currently registered as a full or part-time undergraduate or graduate student in the semester in which the vote to become an eligible candidate is held (i.e. Winter 2017);
- continue to be registered as a full or part-time undergraduate student in both the fall and winter semesters of their term on the Board (i.e. Fall 2017 and Winter 2018); and
- be in good academic standing (the definition of good academic standing can be found at <https://carleton.ca/academicadvising/academic-standing/>).

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

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

THE ROLE OF A STUDENT GOVERNOR

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

SKILLS AND EXPERIENCE TO BECOME A STUDENT GOVERNOR

Student Governors ought to have the following skills:

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

VALIDATION OF ELIGIBILITY

All Expressions of Interest will be reviewed by the University Secretary to ensure that candidates meet the eligibility criteria. This activity will take place on January 18-20, 2020. All candidates will receive an email from the University Secretary to confirm whether or not they are eligible to proceed in the Selection Process, by the end of business on Monday, January 20, 2020.

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

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

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

EXPRESSION OF INTEREST - PERSONAL STATEMENT AND PHOTO

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

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

CAMPAIGNING

The election is to determine if you will be one of the candidates selected by the appropriate student body for consideration by the Board. Candidates may not campaign until they have received an official notification from the University Secretary that their *Expression of Interest* application has been validated. The campaign period begins on Monday, January 20, 2020 and runs through to 11:59 pm on Sunday, February 2, 2020.

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

- Campaigning is not permitted throughout the voting period (Feb. 3 and 4).
- Campaign material must be submitted to the University Secretary for approval PRIOR TO BEING used. Campaign Material can be submitted at any time during the campaigning period. Submission can be done by email or in person.
- Posters are allowed and must be approved by the University Secretary prior to being put up. Candidates are responsible for the production of their posters and these can only be placed in designated areas on campus. More details will be provided.
- The use of electronic media such as Facebook, Twitter and other social networks, personal emails and websites are permitted. Please note that these will be monitored.
- Stickers are not permitted.
- Campaigning on a slate is prohibited.
- Students are welcome to discuss their passions, personal beliefs and interests.
- In-class campaigning is allowed with the permission of the professor or instructor.

GROUP ADVERTISING

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

BOARD 101 INFORMATION SESSIONS

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

- **Session #1** – Monday, January 13 from 12 pm to 1 pm in Room 2440R Richcraft (pizza lunch will be provided)
- **Session #2** – Wednesday, January 15 from 12 pm to 1 pm in Room 2440R Richcraft (pizza lunch will be provided)

You MUST RSVP to the University Secretary by email (amanda.goth@carleton.ca) by midnight on Sunday, January 12 and Tuesday, January 14. If you miss these deadlines but still want to attend, please email the University Secretary as soon as possible.

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

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

VOTING

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

- Monday, February 3 (link activated at 10 am)
- Tuesday, February 4 (link active until 10 pm)

TABULATION

Tabulation of ballots will take place at 10 am on Wednesday, February 5. This process is overseen by the University Secretariat.

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

DISQUALIFICATIONS

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

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

CAMPAIGN GUIDELINES

YOU MUST

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

YOU CAN

- ✓ Campaigning between Monday, January 20 and Sunday, February 2.
- ✓ Use print media such as posters as well as electronic media such as Facebook, Twitter and other social networks, personal emails and websites.

YOU CAN NOT

- ✗ Start campaigning until you have been notified that your nomination has been accepted.
- ✗ Post campaign material without getting it approved by the University Secretary.
- ✗ Allow or encourage supporters to destroy, deface, move, cover or remove any form of publicity installed by other candidates or supporters.
- ✗ Block or encourage supporters to block any doors or stairways while campaigning.
- ✗ Campaign or solicit votes in computer labs.
- ✗ Campaign or solicit votes in Residences.



Carleton University Board of Governors

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

For the 2020/21 Board Year

Call for Expressions of Interest

The Carleton University Board of Governors is seeking **Expressions of Interest** from Administrative Staff to be a candidate to fill ONE vacant position as Administrative Staff Governor for the 2020/2021 Board Year.

The following position is vacant:

- ONE ADMINISTRATIVE STAFF MEMBER

Administrative Staff selected by the administrative staff-at-large to be considered for nomination to the Board, and once confirmed will serve a THREE-YEAR TERM for the period of July 1, 2020 to June 30, 2023.

Interested in becoming an Administrative Staff Governor?

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

1. Meet Eligibility Requirements as set out in the [Bylaws](#) (must be a full-time employee of the administrative staff at the University)
2. Attend ONE of two Board 101 sessions hosted by the University Secretary; and
3. Complete the online **Expression of Interest** application form no later than 4 p.m. on **Thursday, April 23, 2020.**

Following this process, the names of eligible candidates will be presented for a vote to the eligible administrative staff body on April 27 and April 28, to determine which administrative staff member will be presented for nomination to the Board. The election of the successful Administrative Staff Governor candidates will take place at the June 2, 2020 meeting of the Board of Governors.

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

IMPORTANT DATES AND DEADLINES

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

IMPORTANT DATES

Wednesday, April 1	Call for <i>Expressions of Interest</i> begins
Wednesday, April 8	Board 101 Mandatory Information Session from 12pm to 1pm in Room 2440R Richcraft Hall* (note only have to attend ONE of these sessions- either April 8 or April 15)
Wednesday, April 15	Board 101 Mandatory Information Session from 12pm to 1pm in Room 2440R Richcraft Hall* (note only have to attend ONE of these sessions- either April 8 or April 15)
Thursday, April 23	Deadline for Submission of <i>Expressions of Interest</i> (4pm)
Friday April 24 to Monday, April 27	Validation of <i>Expressions of Interest</i> and Confirmation to Administrative Staff Regarding Eligibility to Proceed
Tuesday, April 28 to Tuesday, May 5	Campaigning Period
Wednesday, May 6	Online Voting Begins (link is activated at 10 am)
Thursday, May 7	Online Voting Ends (link is deactivated at 10 pm)
Friday, May 8	Tabulation of results of Candidate Selection Process and Announcement of Successful nominees
Tuesday, June 2	Election for Administrative Staff Governors at meeting of the Board of Governors

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

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

ELIGIBILITY CRITERIA TO BECOME AN ADMINISTRATIVE STAFF GOVERNOR

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

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

In addition to the above requirements of the [Bylaws](#), Administrative Staff are also required to submit a completed **Expression of Interest** application to the University Secretary (see page 5 for more details).

THE ROLE OF AN ADMINISTRATIVE STAFF GOVERNOR

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

SKILLS AND EXPERIENCE TO BECOME A GOVERNOR

Governors ought to have the following skills:

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

VALIDATION OF ELIGIBILITY

All Expressions of Interest will be reviewed by the University Secretary to ensure that candidates meet the eligibility criteria. This activity will take place on April 24 and April 27. All candidates will receive an email from the University Secretary to confirm whether or not they are eligible to proceed in the Selection Process, by the end of business on April 27, 2020.

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

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

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

EXPRESSION OF INTEREST - PERSONAL STATEMENT AND PHOTO

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

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

CAMPAIGNING

The election is to determine if you will be the candidate selected by the eligible administrative community for consideration to the Board. Candidates may not campaign until they have received an official notification from the University Secretary that their *Expression of Interest* application has been validated. The campaign period begins on Tuesday April 28, 2020 and runs through to 11:59pm on Tuesday, May 5, 2020.

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

- Campaigning is not permitted throughout the voting period (May 6 -7).
- Should you decide to use campaign material (i.e. posters, social media, etc.) it must be submitted to the University Secretary for approval PRIOR TO BEING used. Campaign Material can be submitted at any time during the campaigning period. Submission can be done by email or in person.
- Posters are allowed and must be approved by the University Secretary prior to being put up. Candidates are responsible for the production of their posters and these can only be placed in designated areas on campus. More details will be provided.
- The use of electronic media such as Facebook, Twitter and other social networks, personal emails and websites are permitted. Please note that these will be monitored.
- Stickers are not permitted.
- Campaigning on a slate is prohibited.
- Administrative Staff are welcome to discuss their passions, personal beliefs and interests.

GROUP ADVERTISING

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

BOARD 101 INFORMATION SESSIONS

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

- **Session #1** – Wednesday, April 8 from 12pm to 1pm in Room 2440R Richcraft Hall (pizza lunch will be provided)
- **Session #2** – Wednesday, April 15 from 12pm to 1pm in Room 2440R Richcraft Hall (pizza lunch will be provided)

You MUST RSVP to the University Secretary by email (governors@carleton.ca). If you miss these deadlines but still want to attend, please email the University Secretary as soon as possible.

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

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

VOTING

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

- Wednesday, May 6 (link activated at 10:00 am)
- Thursday, May 7 (link active until 10:00 pm)

TABULATION

Tabulation of ballots will take place the morning of Friday, May 8, 2020. This process is overseen by the University Secretariat's Office.

The results of the vote will be made available immediately following completion of the count however it is important to remember that the chosen candidates will NOT be presented to the Board for consideration as the Administrative Staff Governor until the evening of June 2 at the meeting of the Board of Governors.

DISQUALIFICATIONS

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

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

CAMPAIGN GUIDELINES

YOU MUST

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

YOU CAN

- ✓ Campaigning between April 28 and May 5, 2020.
- ✓ Use print media such as posters as well as electronic media such as Facebook, Twitter and other social networks, personal emails and websites.

YOU CAN NOT

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

** subject to change

Materials due 14 days in advance of meeting | Meeting packages issued 7 calendar days in advance of meeting

Bold = To Board for approval | **Red = To Board for information** | **Blue = To the Board for discussion** | >> = Additional Board Committee path | **[S]** = Also requires Senate engagement | Update since last version

Meeting Cycle	Building Program	Finance	Audit & Risk	Governance	Advancement & Uni Relations	Executive
Cycle 1 - [Sep-Oct]	<i>Meeting: September 12 Material deadline: Aug 30</i>	<i>Meeting: September 12 Material deadline: Aug 30</i>	<i>Meeting: September 12 Material deadline: Aug 30</i>	<i>Meeting: September 18 Material deadline: Sept. 4</i>	<i>Meeting: September 18 Material deadline: Sept. 4</i>	<i>Meeting: August 26 Material deadline: Aug.12</i>
<p>Board Orientation: September 5, 2019</p> <p>Board Meeting: September 30, 2019</p> <p>Material Deadline: September 16, 2019 [September 23 distribution]</p> <p><i>Topics for Board Education/Discussion:</i></p> <ul style="list-style-type: none"> • Mental Health Framework (OVPSE) • Guest speaker – Yaprak Baltacioglu, Chancellor <p>For Approval:</p> <ul style="list-style-type: none"> • Alumni Rep on Senate; Academic Colleague <p>October 19 = Board Retreat/Planning Session at DCC</p>	<ul style="list-style-type: none"> • Review of terms of reference & work plan • Ongoing Capital Projects Status Report >> • Future Planning Update: Wellness Hub, Engineering, Parking Garage 3 • Capital Renewal Strategy - Deferred Maintenance • Update on Transportation and Parking Strategy • Capital Proposal Form for Residence Building >> 	<ul style="list-style-type: none"> • Review of terms of reference & work plan • Financial Report for Fiscal Year 2018/19 • Update on the 2019/20 Operating Budget • Ongoing Capital Projects Status Report >> • Capital Proposal Form for Residence Building 	<ul style="list-style-type: none"> • Review of terms of reference & work plan • Presentation of Audited Financial Statements for year ended April 30, 2019 • Audit finding report for year ended April 30, 2019, Management and Independence Letter • Internal Audit Future Principles and Approach • Insurance Report • Risk Management framework for the University 	<ul style="list-style-type: none"> • Review of terms of reference & work plan • Review of Student, Staff and Faculty Governor Handbook and election process • Succession planning for 2019/20 and three years out • Skills gap analysis for Community-at-large recruitment • Discussion of Board Size • Discussion of Chair, Vice-Chair and Committee Chairs job/role description • Discussion of documenting Committee Assignment process 	<ul style="list-style-type: none"> • Review of terms of reference & work plan • Reputational Research Report • Board Award Criteria Review and Jury selection • Student Recruitment Promotion Highlights • Comprehensive Campaign and Advancement Update <ul style="list-style-type: none"> - Strategic Priorities - Hub for Good - Holistic Research Partnerships - Board members tool kit 	<ul style="list-style-type: none"> • Review of terms of reference & work plan/schedule • Committee Chair Orientation • Update on Collective Bargaining • Board Orientation Agenda • Discussion of President's 2019/20 Goals • Report from the President <ul style="list-style-type: none"> - CU Indigenous Strategic Initiatives Committee Update - Strategic Planning and SMA Update • Report from the Chair • Updated standing committee membership

** subject to change

<p>Focus = Strategic Planning Consultation</p>						<p><i>Meeting: September 23</i> <i>Material deadline: Sept. 9</i></p> <ul style="list-style-type: none"> • Sept. Board Agenda • Board Planning Session Agenda • President's 2019/20 Goals • Report from Committee Chairs • Report from the President <ul style="list-style-type: none"> - CU Indigenous Strategic Initiatives Committee Update - Strategic Planning and SMA Update • Report from the Chair • CAL members on the VPSE Review Committee
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** subject to change

Meeting Cycle	Building Program	Finance	Audit & Risk	Governance	Advancement & Uni Relations	Executive
Cycle 2 - [Nov-Jan]	<i>Meeting: November 21 Material deadline: Nov. 7</i>	<i>Meeting: November 21 Material deadline: Nov. 7</i>	<i>Meeting: November 21 Material deadline: Nov. 7</i>	<i>Meeting: November 25 Material deadline: Nov. 11</i>	<i>Meeting: N/A Material deadline: N/A</i>	<i>Meeting: November 25 Material deadline: Nov. 11</i>
<p>Board Meeting: December 4, 2019</p> <p>Materials Deadline: November 20, 2019 [November 27 distribution]</p> <p><i>Topics for Board Education/Discussion:</i></p> <ul style="list-style-type: none"> • Experiential Learning & Employability (OPVPA & OVPSE) • For Approval: CUISIC Report • Guest Speaker – Mayor Jim Watson <p>Joint Reception with University of Ottawa December 4 at 6:00 pm Richcraft Hall Atrium</p>	<ul style="list-style-type: none"> • Project Status Report: Nicol Building • Project Conclusion Reports: Health Sciences, ARISE, Cogeneration • Project Planning Report – Engineering Student Design Centre >> • Update on Campus Master Plan and Open Space Plan • Transportation and Parking Strategy Update • Project Planning Report – Engineering Student Design Centre 	<ul style="list-style-type: none"> • Framework for the 2020/21 Operating Budget [S] • Update on provincial funding formula • Project Planning Report – Engineering Student Design Centre • Investment Report for the Endowment • Pension Plan report • Capital Projects Budget Update 	<ul style="list-style-type: none"> • Status of Implementation of Internal Audit Recommendations • Litigation Report >> • Key Points on ERM and Q&A • Update on Status of Internal Audit Examinations • Top 10 Risk Presentation – Financial Sustainability • Top 10 Risk Presentation – Research Prominence 	<ul style="list-style-type: none"> • Review and approve 2018/19 Board Self-Assessment • Value Proposition of Serving on the Board of Governors • Review of Board Travel Related Expenses Policy 	<ul style="list-style-type: none"> • Approval of Dec. Board Agenda • Report from Committee Chairs: A&UR, Building, Finance, A&R, Governance. • Report from the President <ul style="list-style-type: none"> – CU Indigenous Strategic Initiatives Committee Update – Strategic Planning and SMA Update • Report from the Chair • Litigation Report 	

** subject to change

Meeting Cycle	Building Program	Finance	Audit & Risk	Governance	Advancement & Uni Relations	Executive
Cycle 3 - [Feb-Apr]	<i>Meeting: March 2 Material deadline: Feb. 17</i>	<i>Meeting: March 2 Material deadline: Feb. 17</i>	<i>Meeting: March 2 Material deadline: Feb. 17</i>	<i>Meeting: March 3 Material deadline: Feb. 18</i>	<i>Meeting: April 20, 2020 Material deadline: April 6</i>	<i>Meeting: January 20 Material deadline: Jan. 6</i>
<p>Board Meeting: March 12, 2020</p> <p>Material Deadline: April 27, 2020 [March 5 distribution]</p> <p>Topics for Board Education/Discussion:</p> <ul style="list-style-type: none"> <i>Sexual Violence Report & Strategy (OVPSE)</i> 	<ul style="list-style-type: none"> Project Status Report: Nicol Building & Engineering Student Design Centre Faculty of Engineering Master Plan (Phase 2) Energy Master Plan Transportation and Parking Strategy Update 	<ul style="list-style-type: none"> 2020/21 Ancillary Budget Current Operating Budget update & Status of Reserves Update on Planning Framework for 2019/20 Operating Budget 2020/21 Tuition Fees & Misc. Fees Investment Report for the Endowment Capital Projects Budget Update 	<ul style="list-style-type: none"> Information Technology Services Presentation Update on Banner Implementation & ITS Risk Audited financials for the Pension Fund and report Proposed External Audit Plan & Letter of Engagement from Auditors (KPMG) Emergency Management and Continuity of Operations Presentation Update on Internal Audit Examinations Internal Audit 2020/21 Top 10 Risk – Information Management and Security - Information Technology Services Presentation 	<ul style="list-style-type: none"> Review applications for consideration for new CAL members Results of elections/elections update Review of Code of Conduct Re: General Duties of Governors 	<ul style="list-style-type: none"> Reputational Research Update Board Award Recommendation from Jury Comprehensive Campaign and Advancement Update <ul style="list-style-type: none"> Strategic Priorities Hub for Good Holistic Research Partnerships Board member toolkit 	<ul style="list-style-type: none"> Report from Committee Chairs: A&UR, Building, Finance, A&R, Governance. Report from the President <ul style="list-style-type: none"> Strategic Planning and SMA Update Report from the Chair Presidential Mid-year Report on 2019/20 Goals

** subject to change

<p>Board Meeting: April 30, 2020</p>	<p><i>Meeting: April 16 Material deadline: April 2</i></p>	<p><i>Meeting: April 16 Material deadline: April 2</i></p>	<p><i>Meeting: April 16 Material deadline: April 2</i></p>			<p><i>Meeting: March 3 Material deadline: Feb. 18</i></p>
<p>Material Deadline: April 16, 2020 [April 23 distribution]</p> <p>Topics for Board Education/Discussion:</p> <ul style="list-style-type: none"> • Accessibility Strategy (OVPSE) • Draft Strategic Plan • Guest Speaker – Michael Sinkus <p>Joint Reception with Senate prior to Board Meeting in TBD</p>	<ul style="list-style-type: none"> • Project Status Report: Nicol Building & Engineering Student Design Centre • Environmental Sustainability Plan Update • Transportation and Parking Strategy Update 	<ul style="list-style-type: none"> • 2020/21 Student Association Fees • Presentation and approval of 2020/21 Operating Budget [S] • Statement of Investment Policies and Procedures for the Retirement Fund • Capital Projects Update and Updates on Proposed Building Projects • Approval of Dean on the Investment Committee 	<ul style="list-style-type: none"> • Status of Implementation of Internal Audit Recommendations • Enterprise Risk Assessment Report • ERM Audit Recommendations Status • Internal Audit Reports – non-ITS computing, research accounting and housing (ancillary unit) • Environmental Health and Safety Annual Report • Top 10 Risk – Students and Staff Health Wellness and Safety 			<ul style="list-style-type: none"> • Approval of March Board Agenda • Report from Committee Chairs: A&UR, Building, Finance, A&R, Governance. • Report from the President – Strategic Planning and SMA Update • Report from the Chair • Review of President’s Assessment Survey <p><i>Meeting: April 20 Material deadline: Feb. 18</i></p>
						<ul style="list-style-type: none"> • Approval of April Board Agenda • Report from Committee Chairs: A&UR, Building, Finance, A&R, Governance. • Report from the President – Strategic Planning and SMA Update • Report from the Chair

** subject to change

Meeting Cycle	Building Program	Finance	Audit & Risk	Governance	Advancement & Uni Relations	Executive
Cycle 4 - [May-Jun]	<i>Meeting: N/A</i> <i>Material deadline: N/A</i>	<i>Meeting: N/A</i> <i>Material deadline: N/A</i>	<i>Meeting: N/A</i> <i>Material deadline: N/A</i>	<i>Meeting: May 19</i> <i>Material deadline: May 5</i>	<i>Meeting: N/A</i> <i>Material deadline: N/A</i>	<i>Meeting: May 19</i> <i>Material deadline: May 5</i>
<p>Board Meeting: June 2, 2020</p> <p>Material Deadline: May 19 [May 26 distribution]</p> <p><i>Topics for Board Education/Discussion:</i></p> <ul style="list-style-type: none"> • Strategic Plan Approval <p>Year-end Board Dinner in MacOdrum Library Room 252 at 6:30 pm</p>				<ul style="list-style-type: none"> • Recommendation of appointments to the Board for 2019/20 • Recommendation of Officers of the Board • Recommendation of Signing Officers 		<ul style="list-style-type: none"> • Approval of June Board Agenda • Report from Committee Chairs: A&UR, Building, Finance, A&R, Governance. • Report from the President <ul style="list-style-type: none"> – Strategic Planning and SMA Update • Report from the Chair • Presidential Assessment Survey Results • Board Assessment Survey Results • Presidential Year-End Report on 2019/20 Goals

BOARD OF GOVERNORS 2019/2020 MEETING SCHEDULE

Month	Day	Activity	Time	Room
AUGUST	26	Executive	3 PM – 5 PM	RB 2440R
SEPTEMBER	5	Board Orientation	8 AM – 4 PM	RH 2 nd fl
	12	Building	11 AM – 1 PM	RB 2440R
	12	Finance	1 PM – 3 PM	RB 2440R
	12	Audit & Risk	3 PM – 5 PM	RB 2440R
	18	Advancement & UR	1 PM – 3 PM	RB 2440R
	18	Governance	3 PM – 5 PM	RB 2440R
	20	Senate	2 PM – 4 PM	RO608
	23	Executive	3 PM – 5 PM	RB 2440R
	30	BOARD	3 PM – 6 PM	RB 2440R
OCTOBER	18	Senate	2 PM – 4 PM	RO608
	19	Board Planning Session	8 AM – 4 PM	DCC
NOVEMBER	21	Building	11 AM – 1 PM	RB 2440R
	21	Finance	1 PM – 3 PM	RB 2440R
	21	Audit & Risk	3 PM – 5 PM	RB 2440R
	25	Governance	1 PM – 3 PM	RB 2440R
	25	Executive	3 PM – 5 PM	RB 2440R
	29	Senate	2 PM – 4 PM	RO608
DECEMBER	4	BOARD	3 PM – 6 PM	RB 2440R
	13	Senate	2 PM – 4 PM	RO608
JANUARY	20	Executive	3 PM – 5 PM	RB 2440R
	31	Senate	2 PM – 4 PM	RO608
FEBRUARY	28	Senate	2 PM – 4 PM	RO608
MARCH	2	Building	11 AM – 1 PM	RB 2440R
	2	Finance	1 PM – 3 PM	RB 2440R
	2	Audit & Risk	3 PM – 5 PM	RB 2440R
	3	Governance	1 PM – 3 PM	RB 2440R
	3	Executive	3 PM – 5 PM	RB 2440R
	12	BOARD	3 PM – 6 PM	RB 2440R
	27	Senate	2 PM – 4 PM	RO608
APRIL	16	Building	11 AM – 1 PM	RB 2440R
	16	Finance	1 PM – 3 PM	RB 2440R
	16	Audit & Risk	3 PM – 5 PM	RB 2440R
	22	Advancement & UR	1 PM – 3 PM	RB 2440R
	22	Executive	3 PM – 5 PM	RB 2440R
	24	Senate	2 PM – 4 PM	RO608
	30	BOARD	3 PM – 6 PM	RB 2440R
MAY	19	Governance	1 PM – 3 PM	RB 2440R
	19	Executive	3 PM – 5 PM	RB 2440R
	29	Senate	2 PM – 4 PM	RO608
JUNE	2	BOARD	3 PM – 6 PM	RB 2440R
	2	Board Dinner	6 PM – 8 PM	ML 252 - Library
	19	Senate	10 AM – 12 PM	RO608



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

**Carleton University Senate
Meeting of June 21, 2019 at 10:00 a.m.
Senate Room, Robertson Hall**

MINUTES – OPEN SESSION

Present: F. Afagh, S. Ajila, L. Akagbosu, B.A. Bacon (Chair), S. Blanchard, A. Bowker, S. Boyle, A. Chandler, M. Close, A. Courchene, J. Deaville, T. Di Leo Browne, C. Dion, D. Dragunoiu, L. Dyke, J. Erochko, K. Evans, P. Farrell, R. Goubran, H. Gupta, B. Hnidi, W. Jones, C. Joslin, B. Kuzmarov (Clerk), C. Macdonald, A. Maheshwari, M. Neufang, J. Paulson, M. Piché, A. Plourde, B. Popplewell, P. Rankin, M. Rooney, L. Schweitzer, W. Shi, S. Shires, A. Shotwell, D. Siddiqi, E. Sloan, J. Smith, P. Smith, J. Tomberlin, K. von Finckenstein, C. Warner, J. Wolfart.

Regrets: J. Coghill, B. Creary, M. Esponda, B. Hallgrimsson, J. Hayes, D. Howe, B. Hughes, E. Kwan, P. Lagasse, S. Moran, H. Nemiroff, D. Nussbaum, S. Srinivasan, C. Trudel, C. Viju, P. Watzlawik-Li,

Absent: A. Ahmad, T. Arnt, J. Cheetham, C. Cruickshank, N. Grasse, P. Gunupudi, A. Harrison, W. Horn, F. Hosseinian, S. Klausen, J. Kovalio, S. Kroff, J. Liu, R. McKay, N. Nanos, B. O'Malley, S. Parathundyil, J. Stoner.

1. Welcome

The Chair welcomed Senators to the final Senate meeting of the 2018/19 academic year, and began the session by acknowledging that the land on which Carleton sits is the traditional and unceded territory of the Algonquin People. The Chair noted that June 21 is National Indigenous Peoples Day. Because June is also National Pride month, the Rainbow Pride flag has been raised outside of Dunton Tower.

The Chair noted some highlights of Carleton's recent Convocation:

- 4800+ students received their degrees over 9 ceremonies.
- Seven honorary degrees were awarded; recipients included Yazmine Laroche and the Rt. Hon. Paul Martin, and
- The new Chancellor, Yaprak Baltacioğlu, was installed.

The Chair thanked all who attended and/or contributed to this year's Convocation.

The Chair acknowledged and thanked a number of Senators who are concluding their Senate term this month:

- Jeff Smith (Academic colleague)
- Jack Coghill (Alumni Representative)
- Board members:
 - Nik Nanos
 - Beth Creary
- Faculty members:
 - Jeffrey Erochko
 - Mariana Esponda
 - Nathan Grasse
 - John Hayes
 - Wayne Horn
 - Susanne Klausen
 - Anil Maheshwari
 - Petra Watzlawik-Li
- 5 students:
 - Taylor Arnt
 - Aprile Harrison
 - Bashar Hnidi
 - Scott Kroff
 - Brendan O'Malley

The Chair also thanked the ex officio members who will not be returning to Senate next year:

- Lorraine Dyke, who will move to a new role as Deputy Provost (Academic Operations & Planning) on July 1st
- Linda Schweitzer, who has served 2 years as Interim Dean of the Sprott School of Business,
- Fred Afagh, who served as Dean of the Faculty of Engineering and Design for 2.5 years, and
- Matthias Neufang, who is moving on from his position as Dean of the Faculty of Graduate and Post-doctoral Affairs, a post he held for 5 years.

The Chair thanked all outgoing Senators for their service.

The Chair acknowledged that 2018-19 was a busy year for Senate, with full meetings and engaged discussions.

2. Approval of agenda (open)

It was **MOVED** (M. Neufang, F. Afagh) that Senate approve the open agenda for the meeting of Senate on June 21, 2019, as presented.

It was noted that the Library Report under Item 10(b) should be omitted from the agenda as it was not received by the Senate Office.

The motion **PASSED**, with this modification.

3. Approval of minutes – May 31, 2019

It was **MOVED** (L. Schweitzer, J. Erochko) that Senate approve the minutes of the open session of the Senate meeting on May 31, 2019, as presented.

Three small corrections to the attendance record were noted by the Senate Office. A Senator also requested a correction in the wording of an amendment under Item 7(d) on page 6.

The motion **PASSED** with these changes.

4. Matters Arising

There were none.

5. Chair's Remarks

The Chair discussed strategic planning, and included a presentation to accompany his remarks (see attached pdf). He began with a review of the past strategic plan (*Collaboration, Leadership and Resilience* 2013-18), specifically noting the successful achievement of the 10 goals of the plan. (See pdf for details.) The Chair then introduced four co-chairs who will be leading the process for developing a new SIP: Betina Appel Kuzmarov (Clerk of Senate), Cindy Taylor (Assistant Vice-President – Human Resources), Lorraine Dyke (Deputy Provost, Academic Operations & Planning), and Patrice Smith (Dean, Faculty of Graduate and Postdoctoral Affairs). Lorraine Dyke, one of the co-chairs, outlined the timeline of the process, which will include the following steps:

- Creation of a Task Force of 12 – 15 people, broadly representative of campus, through an open Call for Nominations over the summer. The Task Force will include and be led by the four co-chairs.
- Inclusion of a Speaker Series, beginning this fall, to focus on trends and issues in Higher Education.
- Launch of the process in September; website opened for input.
- Broad consultations across campus and engagement with internal and external stakeholders throughout the Fall.

- Strategic directions identified in December; draft plan created in January and then opened to the public for comments.
- Further consultations in March and April
- Finalized SIP created in April and brought to Senate and Board of Governors for approval in May.

The Co-Chairs are looking for the following input from Senators:

- Comments on the process and timeline
- Recommended themes for the consultation sessions
- Recommendations for Speakers

Suggestions and feedback from Senators:

- Themes for consultations should include research directions and teaching directions.
- The lack of permanent teaching positions for Contract Instructors should be addressed in this process.
- Consultations should involve unions on campus, and should include staff, contract instructors, and Indigenous voices.
- The process should highlight what we do well and should align with our reputation.

A Senator asked how the SIP relates to the Strategic Mandate Agreement (SMA), which is negotiated with the Provincial Government. The Chair responded that the SMA timeline is not yet known, but the agreement will be based on the Strategic Integrated Plan and will be a subset of it.

In closing, the Chair thanked Senators for their feedback and the four co-Chairs for their leadership.

6. Question Period

Questions submitted with regards to the Carnegie Classification were discussed under agenda item #9a.

7. Administration

a. Senate membership ratification (2019/20)

It was **MOVED** (B. Kuzmarov, P. Smith) that Senate ratify the appointment of Farah Hosseinian as elected member of Senate from the Faculty of Science, with effect from July 1, 2019, for a term of 3 years.

The motion **PASSED**.

b. Senate Survey Results

To bring Carleton's Senate in line with best practices in the sector, the Secretariat Office has initiated an annual Senate Survey, to gather feedback from Senators and look for areas of improvement in our processes.

Our first Senate Survey was distributed electronically to Senators on May 23rd and was available for responses until May 30th. There were 7 multiple choice questions plus opportunities for general comments and suggestions. The response rate was 47%, and included many comments in addition to the responses to individual questions.

The Clerk thanked Senators for the feedback, which will inform Senate planning for next year. A high-level review of the results indicates that Senators are engaged, informed, and prepared for meetings, but many feel that documentation and document delivery could be streamlined. Some Senators also thought that the Senate Orientation could be improved. The Clerk indicated that improvements to these areas will be made for 2019-20 and an Orientation for committee chairs is also being considered for next year.

A more complete written report of the results of the survey will be shared with Senators in the Fall of 2019.

8. Reports

a. Student Awards Committee

The Clerk of Senate reported on this item, as the Chair of the committee was unable to attend the Senate meeting.

The Senate Committee on Student Awards is tasked with considering and recommending to Senate the acceptance of preferred undergraduate scholarships, awards, loan funds and bursary funds.

A memo outlining changes to existing undergraduate awards and the proposed terms of reference for 39 new awards was circulated to Senators. This memo is a companion document to the committee report, which had been circulated to Senators in May.

Of the 39 new awards proposed, 2 are entrance scholarships, 6 are in-course scholarships, 11 are departmental scholarships, 17 are new bursaries, and 3 are Athletics awards. The memo also proposes changes to the terms of reference for four departmental scholarship and one general scholarship.

It was **MOVED** (B. Kuzmarov, S. Shires) that Senate approve the terms of reference for 39 new undergraduate awards and changes to five existing undergraduate awards, as presented.

The motion **PASSED**.

b. Senate Honorary Degrees Committee

Committee Chair Rafik Goubran presented two proposed changes to the Honorary Degrees Policy. The first change would extend the period of time that approved candidates could remain on the active list, from 3 years to 5 years, in order to allow enough time to schedule a receipt of the degree at a Convocation ceremony. The second change relates to the notification process. Currently, once Senate approves the nominee, the nominator is informed of the decision. However, this can often compromise the confidentiality of the process, as the nominee only receives the honorary degree once it has been scheduled by the President's Office, which can occur months or even years after the approval at Senate. As a result, the committee is proposing that the nominator of an approved candidate should only be notified once the President's office has confirmed a scheduled time for the awarding of the honorary degree, and not before.

It was **MOVED** (R. Goubran, F. Afagh) that Senate approve the changes to the Honorary Degree Policy, as presented.

The motion **PASSED**.

c. Senate Committee on Curriculum, Admissions and Studies Policy

Dwight Deugo spoke to this report as the Chair of SCCASP, Howard Nemiroff, was unable to attend the Senate meeting.

There was 1 item for information and 2 items for approval.

Items for approval:

SCCASP is proposing the addition of a math (calculus) requirement to the B.Com. and BIB programs, to bring them in line with other programs.

It was **MOVED** (B. Kuzmarov, M. Neufang) that Senate approve the regulation changes to the B.Com. Program for the 2020/21 calendar, as presented.

It was **MOVED** (B. Kuzmarov, M. Neufang) that Senate approve the regulation changes to the BIB Program for the 2020/21 calendar, as presented.

Discussion:

A Senator noted that the normal 10-day notice of motion period was not followed for this memo as Senators only received the materials 3 days before the meeting. The Clerk noted the procedural issue, and through discussion it was determined that the conditions were met for a waiver of notice of motion.

It was **MOVED** (K. Evans, K. von Finckenstein) that Senate waive the notice of motion requirement for the motion presented by the Senate Committee on Curriculum, Admission and Studies Policy to approve regulation changes to the B.Com. and BIB programs as presented.

The motion **PASSED** with a 2/3 approval, with 1 opposed and 1 abstention.

The original motions (above) **PASSED**.

Item for Information:

SCCASP has been considering comments from Senators regarding the Amnesty Policy, and will be discussing the policy at the SCCASP retreat in August. The revised policy will be brought to Senate for discussion and approval in September.

d. Senate Academic Program Committee:

Cyclical Reviews:

It was **MOVED** (J. Tomberlin, L. Schweitzer) that Senate approve the Final Assessment Report and Executive Summary arising from the Cyclical Review of the undergraduate and graduate programs in the Sprott School of Business. The motion **PASSED**.

It was **MOVED** (J. Tomberlin, C. Macdonald) that Senate approve the Final Assessment Report and Executive Summary arising from the Cyclical Review of the undergraduate programs in Biology. The motion **PASSED**.

It was **MOVED** (J. Tomberlin, A. Plourde) that Senate approve the Final Assessment Report and Executive Summary arising from the Cyclical Review of the graduate programs in Sustainable Energy. The motion **PASSED**.

IQAP (Institutional Quality Assurance Process)

Vice-Provost Lorraine Dyke presented an overview of the revised IQAP that was circulated to Senators with the meeting package. She reminded Senators that each Ontario university is required to produce its own IQAP that must meet provincial protocols. The IQAP is ratified by the Quality Council, which is the final authority on our IQAP and the approval of new programs.

Carleton's IQAP initially was approved by Senate in 2010, was ratified by the Quality Council in 2011, and was expanded in 2012 to include the Dominican University College. Improvements were made in 2013 that were approved by Senate in 2015. Carleton's IQAP was last audited in 2014.

A timeline of consultations leading to the current proposed revisions was outlined. After approval at Senate, the new IQAP will be approved by the Quality Council in August with the goal of implementation in September.

Key objectives of the new IQAP:

- reduce burden on academic units,
- shorten process,
- eliminate unnecessary committee burdens,
- incorporate best practices, and
- clarify roles and responsibilities.

Major changes included replacing CUCQA and SAPC with SQAPC (Senate Quality Assurance and Program Committee), eliminating the peer review process, and streamlining stages, reporting and major modification tracks. Details are available in the revised IQAP.

SQAPC membership recommendations:

- Add Associate Dean of Programs in FGPA (Grad studies stands in place of the line faculty board for graduate studies.)
- Members of the committee should have experience in administration of graduate and/or undergraduate programs and should have established and continuing research records.
- Correction: Calendar Manager should be Calendar Editor.

Other changes in the IQAP:

- Appendices containing lists of programs in scope were replaced by criteria that define in-scope programs.
- Definitions were removed, since these definitions are already contained in the Calendar Glossary.
- Unnecessary repetition was eliminated.

Other process changes outside the actual text of the IQAP include the following:

- New templates were created for the cyclical review process (with page limits).
- Separate resource guides were developed.
- Tighter timelines and clearer deadlines were established for cyclical reviews.
- Site visits can be pre-booked prior to completion of self-study.
- For multi-faculty programs, one Dean finalizes feedback.
- Accreditation has been aligned with the cyclical review process in Spratt and Engineering (other programs to be confirmed).
- Library reports were eliminated where not needed.

Corrections to the IQAP document circulated to Senate:

- P15: 3.5.7: "...office of the Vice-Provost shall assign the *documents*" (instead of brief)
- P33: 7.2.11.1 "...office of the Vice-Provost shall assign the *documents*" (instead of brief)

It was **MOVED** (L. Dyke, A. Plourde) that a friendly amendment be made to the motion to incorporate these changes. Senators accepted the amendment as friendly.

It was **MOVED** (J. Tomberlin, C. Macdonald) that Senate approve the revised version of Carleton's ICAP, as presented.

The motion **PASSED**.

There was no discussion.

9. Community Engagement Presentations:

a. Carnegie Classification Pilot Project (cont'd)

Vice-Provost Lorraine Dyke answered questions submitted by Senator Paulson as a follow-up to last week's presentation on the Carnegie Classification project:

1. *What does it cost Carleton to receive and maintain this classification?*
The fee is approximately \$10,000. Staffing costs would be approximately \$40,000.
2. *What would be expected of Carleton to keep the classification?*
The classification must be renewed every 5 years for reclassification.

3. a) *Will there be top-down requirements on how faculty incorporate community engagement into their classrooms or programs?*

No

b) *Will decision making powers regarding community engagement's relationship to our academic mission be subsumed by this program?* There will be no impact on decision making powers of Senate or BOG.

4. *Are there mechanisms in place to prevent gaming of the system?*

We are only able to submit the names of 15 partners to be surveyed. This will be a subset of our large partnership pool. For example, Sprott alone has over 300 partners. The classification does not drive our engagement work. Rather, our Community Engagement work is driving our desire for the classification.

The Chair noted that Carleton University was founded by and for the community in 1942. Carleton is well positioned to take advantage of and build upon this long history of community engagement. The Carnegie Classification is a way for Carleton to gain recognition for something we already do well.

b. Hub for Good

Ryan Davies, Director of Advancement Strategy and Brand, and representative from the Community Engagement Steering Committee, presented an overview of the proposed "Hub for Good," a new community partnership and engagement portal based on the successful Future Funder model used by Carleton's Department of Advancement for fundraising. The Hub for Good would function as a visible front door to facilitate external partnerships.

Development of this HUB will progress over 3 broad phases.

Phase 1 – (achieved) Establish a live portal for community engagement at Hub for Good. The HUB routes users to existing opportunities for community engagement such as research partnerships, coop opportunities, and philanthropy. This portal was launched with Propel initiative in mid-May.

Phase 2 – over the next 18 months – Develop a timely user-led platform for community engagement similar to the Future Funder platform. Individual groups will be able to put forward ideas for partnerships through the portal. Approval protocols have yet to be developed, as do measures for success and

accountability. These will be developed through consultations with the university community, which will begin in September.

Phase 3 – Spring 2020 – External partners will be asked to submit ideas via the portal. Processes will be in place to adjudicate and assign partnerships based on agreed protocols.

Discussion:

A Senator asked if there are existing models for this process. Mr. Davies noted that Simon Fraser has been a model because of its broad community engagement but Carleton is the first university to develop this unique process. A number of charities also have served as resources for this model (as, for example, in volunteer matching).

Another Senator asked for examples of community engagement that could be accessed through this model. Fundraising is one possibility, but the platform has the potential to broaden partnerships beyond one dimension. The portal is a vehicle for connecting people. Research partnerships, coop opportunities, SEO volunteers in community for service learning, etc. are all current possibilities. Areas for research and working with students are already included. More opportunities can be identified through the consultation process.

Others asked about protocols to determine the appropriateness of projects, given the decentralization of process. Will there be safeguards to prevent embarrassments to the university?

Another Senator suggested that the text around accessing research on the current site, which is mostly STEM oriented, could be broader in its representation.

10. Reports for Information:

a. Senate Executive Committee Minutes (March 19, 2019; April 16, 2019; May 21, 2019)

b. Senate committee Annual Reports (SAIAC, Student Awards, Library Committee)

Senators appreciated the detail and recommendations of the report from the Senate Student Academic Integrity Appeals Committee (SAIAC). A Senator asked if the idea of an Honor Code and Zero Tolerance Policy could be brought to Senate in September for further discussion. Another Senator asked about more specific issues with academic integrity in lab coursework. The Clerk noted that these responses would be brought back to the Chair of

SAIAC and the recommendations would be taken to the appropriate Senate committee(s) for development before returning to Senate for discussion and approval(s).

11. Other Business

A Senator asked about flying an Indigenous/Algonquin flag on campus. The Chair noted that a response will be provided at the next Senate meeting.

12. Adjournment

The meeting was adjourned at approximately 12:00 noon.