

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

The 620th Meeting of the Board of Governors
Thursday, April 30th, 2020 at 3:00 p.m.
Via Videoconference

AGENDA

OPEN SESSION

1. CALL TO ORDER AND CHAIR'S REMARKS

2. DECLARATION OF CONFLICT OF INTEREST

3. APPROVAL OF OPEN AGENDA

- The agenda was circulated with the meeting material.

4. OPEN CONSENT AGENDA

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

5. OPEN - ITEM(S) FOR APPROVAL

5.1 Videoconferencing and Electronic Meetings Policy (S. Levitt)

- Resolution and policy were circulated in advance.

5.2 Board Award for Outstanding Community Achievement Recommendation (D. Fortin)

- Executive Summary was circulated in advance.

5.3 2020/21 Operating Budget (D. Alves)

- Executive Summary, Report and Presentation were circulated in advance.

5.4 2020/21 Student Association Fees (D. Alves)

- Executive Summary was circulated in advance.

5.5 Project Implementation Report – Engineering Student Design Centre (G. Farrell)

- Executive Summary, report and presentation were circulated in advance.

6. OPEN – ITEM(S) FOR INFORMATION

6.1 Strategic Integrated Plan Second Draft

- A draft plan was circulated in advance.

6.2 Report from the Chair

- A verbal report will be provided.

6.3 Report from the President

- A verbal report will be provided on:
 - COVID-19 Planning Update
 - Strategic Mandate Agreement Update

6.4 Committee Chair Updates

- Verbal reports:
 - a) Building Program Committee (G. Farrell)
 - b) Advancement and University Relations Committee (D. Fortin)
 - c) Finance Committee (D. Alves)
 - d) Governance Committee (N. Nanos)

7. OPEN - OTHER BUSINESS

8. OPEN - QUESTION PERIOD

- There are no questions to be addressed.

9. END OF OPEN SESSION

AGENDA

ITEM 5.1

RESOLUTION OF THE BOARD OF GOVERNORS

CARLETON UNIVERSITY

(the "Corporation")

WHEREAS it is considered in the best interest of the Corporation in the current circumstances to proceed with videoconference Board meetings pursuant to section 6.05 of the by-laws;

On motion duly made, seconded and [unanimously] carried it is **RESOLVED THAT:**

1. Until further notice, Board meetings may be held using a video-conferencing meeting application that enables Governors to communicate adequately with each other and such meetings will be governed by the attached policy on electronic meetings.
2. Voting by Governors by e-mail and at both teleconference and electronic meetings will also be governed by the attached policy on electronic meetings, which is hereby approved.

ENACTED this ____ day of _____, 2020.

WITNESS the seal of the Corporation.

Chair of the Board

Secretary

CARLETON UNIVERSITY

Board Electronic Meeting Policy

1. PURPOSE

- 1.1 The purpose of this Policy is to ensure that meetings of the Board of Governors (the “**Board**”) of Carleton University (the “**University**”) that are held by e-mail, teleconference, electronic or other means comply with sections 6.05 and 6.13 of the by-laws. This policy is not meant to encourage the use of other means of meetings as a usual practice to conduct the business of the Board of Governors but to provide an alternative in time-limited situations or exceptional circumstances. In such circumstances, the Chair can decide whether to convene a meeting by telephone or other communications facilities or to have an email vote.

2. SECRET BALLOT

- 2.1 Whenever a secret ballot is requested by the Chair or a Governor during a Board meeting, whether in-person, by e-mail, by teleconference or video-conference, or by another electronic means, the following process shall be followed:
- The University Secretary or General Counsel shall act as scrutineer and provide an undertaking to collect the ballots and keep confidential how any particular Governor has voted on a particular matter;
 - a ballot shall be emailed to all Governors, the subject line of the email message shall include the words “Board Decision Required” and, if required a timeline for response shall be indicated in the message;
 - each Governor should respond to the scrutineer as follows: MOTION on xxxx. I am IN FAVOUR of this motion OR I am OPPOSED to this motion OR I ABSTAIN from this motion;
 - the scrutineer shall verify that all votes came from the email addresses identified by the Governors, count the ballots and advise the Chair of the outcome of the vote;
 - if the Chair is satisfied that the Board’s requirements for voting have been met, the scrutineer shall advise the Board of the outcome of the vote by email; and
 - the University Secretary shall retain copies of all correspondence and ballots related to the vote for a period that complies with the retention policy established for its records management system.

3. DECISION-MAKING BY E-MAIL

- 3.1 E-mail votes are appropriate when the items in question can be considered as any of the following:
- not controversial
 - routine and do not require extensive background and explanation or
 - extremely time sensitive and may have serious consequences for the University.

The Chair may decide before the process commences that the issue cannot be decided by electronic voting and thus, a decision will not be made by email. Once the e-voting process

begins, the Chair, or any board member, may decide that the issue cannot be decided by electronic voting and thus, a decision will not be made by email.

3.2 Procedure

- For an email vote, the Secretary will circulate, to all board members, the motion and any accompanying documents will be sent to the Board. A discussion period of at least 24 hours will be set. Board members will use “reply all” to give others the benefit of the opinions shared. Members can indicate whether they support the proposal, but no voting is permitted in the discussion period.
- At the end of the discussion period, a voting period of at least 24 hours will be set. Voting will be conducted by secret ballot in accordance with section 2 above. Quorum must be met for a vote to have a valid decision. For greater certainty, a Board member indicating a position during the discussion period and then doing nothing in the voting period does not count as a vote.
- At the end of the voting period, the Secretary will inform the Board of the outcome.
- The decision will be noted in the minutes of the next meeting.

4. MEETINGS BY TELECONFERENCE OR OTHER ELECTRONIC MEANS

- 4.1 Board meetings may be conducted by means of a telephonic, electronic, video-conference or other communications facility. Advance notice of the specific communications facility and the necessary technical procedures shall be provided to Governors.
- 4.2 Participation in the meeting constitutes presence at the meeting for the purpose of determining quorum. Quorum shall be established by a roll call at the beginning of the meeting.
- 4.3 Governors participating by teleconferencing or video conferencing must be able to hear the comments of and speak to all those present at the meeting, and all those present at the meeting must be able to hear the comments of and speak to Governors contemporaneously.
- 4.4 A general vote may be called for by the Chair on motions. The Chair will ask Board members to vote on motions as follows: any opposed, any abstentions, and all those in favour. On any matter a Governor may ask for a vote by roll call or by secret ballot.

Approval Date:

Last Review Date:

AGENDA

ITEM 5.2

COMMITTEE: Board of Governors

MEETING: 620 – April 30, 2020

ORIGINATOR: Advancement and
University Relations

ITEM: 5.2 - Board of Governors
Award for Outstanding
Community Achievement
Recommendation

I. INFORMATION PRESENTED TO THE BOARD

On April 15, 2020 the Board Award Jury met to review the nominations for the Board Award. This year, 22 nominations were received.

It was agreed by the Jury that this year's recipient of the award be Francesca Tsimiklis who will be graduating with a Master of Applied Science, Mechanical Engineering at Fall convocation 2020.

The Jury was impressed by Francesca's commitment to volunteerism both within and outside the Carleton community. Over her seven-year tenure as an Engineering Student, Francesca has developed a close network for students in this field, with a specific interest in advocacy for women in STEM. She has demonstrated her passion for Engineering through her volunteerism, among other things, as a student mentor, tour guide for outreach programs, and as a President or Vice-President of various groups. The Jury noted her volunteer work was in both a leadership and hands-on capacity. Outside of Carleton, Francesca has been a weekly volunteer at The Glebe Centre Nursing Home since May of 2017. Here, she has guided the "Music and Memory" program, assisted with a music therapy group, and coordinated weekly luncheons.

It was noted by her references that Francesca was not only a fantastic volunteer, but a successful student as well. In addition to supporting her fellow engineering students through the Carleton Student Engineering Society, and the Carleton Undergraduate Biomedical Engineering Society, she was also acknowledged as an intelligent and conscientious student. Additionally, when speaking of her time spent at The Glebe Centre, her references made special note of her ability to tend to those residents who have been diagnosed with dementia or other related behaviours. Her ability to connect with residents was second only to her compassion and empathy.

In addition to her numerous volunteer pursuits in her academic studies, she maintains high an almost perfect CGPA in one of Carleton's most demanding programs. It should also be noted that Francesca's academic achievements include the 2019 Women in Engineering Transform the Future Scholarship, the 2017 Carleton Mechanical and Aerospace Departmental Scholarship, and the 2016 Dean's Honour List.

II. RECOMMENDATION TO THE COMMITTEE

It is recommended that the Board approve the recommendation of the Jury that Francesca Tsimiklis receive this year's Board of Governors Award for Outstanding Community Achievement for 2019/20 academic year.

AGENDA

ITEM 5.3

BOARD OF GOVERNORS REPORT

To:	Board of Governors	Date of Report: 30 March 2020
From:	Provost and Vice-President (Academic)	Date of Meeting: 30 April 2020
Subject:	Proposed Budget for Operating Units 2020-21	
Responsible Portfolio:	Provost and Vice-President (Academic)	

1.0 PURPOSE

☒ For Approval ☐ For Information ☐ For Discussion

2.0 MOTION

The Board of Governors approve Carleton University's 2020-2021 Operating Budget, as presented. However, in light of the current public health crisis and associated fiscal uncertainties, the new discretionary allocations approved in the present budget are on hold until such time as more clarity is achieved. It is understood that lifting the hold will require a recommendation from the Finance committee for approval by the Board of Governors.

3.0 EXECUTIVE SUMMARY

The operating budget represents the resources available for core activities of the university, including teaching, research, student services, and academic and administrative support. Government grants, tuition fees and other general revenues fund the operating budget. The budget is divided into planning units called Resource Planning Committees (RPCs) with each RPC responsible for the financial health of the departments within it. There are also university wide expenses (e.g. utilities, student aid) that are grouped under the university budget.

As currently mandated by the Board of Governors, the operating budget must be balanced each year. The university uses a multi-year planning cycle to ensure that this objective is achievable over the long term.

Carleton's operating budget points to total revenue and expenses of \$502.4M for fiscal year 2020-21. This represents an increase of \$13.3M from the \$489.1M opening 2019-20 budget. The change is mainly attributable to international tuition fee increases ranging from 0% - 8%, and flow-through of domestic students' enrolment growth. Domestic tuition fees for 2020-21 were fixed at the 2019-20 level, which fees had then been reduced 10% from 2018-19.

The 2020-21 budgeted expenses cover compulsory increases such as negotiated salaries and benefits, utilities, contracted increases, and discretionary allocations to support the university's operating priorities. As determined by the Provost Budget Working Group (PBWG), Carleton's 2020-21 priorities are meant to support the following goals:

- Improving student success and wellness;
- Increasing research productivity and impact; and
- Strengthening reputational credibility.

As the university works toward achieving its goals, planning efforts will involve investing in Strategic Integrated Planning priorities, which comprise increasing and diversifying external revenue sources, implementing cost containment initiatives, and the renewal off campus infrastructure.

Although we expect that the COVID-19 disruption will have a significant effect on the university's 2020-21 financial results, we are presenting the operating budget without reference to the pandemic. The operating budget presented for approval will serve as the baseline from which COVID-19 financial consequences can be assessed.

In the coming months, management will provide the Board with an updated budget and multi-year plan in September 2020.

4.0 INPUT FROM OTHER SOURCES

The operating budget consultation process involves many stakeholders from the Resources Planning Committees (RPC). Beginning in the fall, input from the Board of Governors is sought and discussions with faculty and staff about emerging priorities and future pressures takes place. These discussions are primarily held at the Strategic Integrated Planning Committee (SIPC), which is composed of the President, Vice Presidents, Deans, Associate and Assistant Vice Presidents, and selected Directors. RPC heads present their operating plan and request for resources to each other's and the Provost's Budget Working Group (PBWG). The PBWG then makes the decisions to allocate resources in a way that best support the university's operating priorities while maintaining a balanced budget. Charts 2 to 5 of the attached presentation provide further details on the university's key planning dates, principles, and resources allocation priorities.

Input is also received from the Office of Institutional Research Planning (OIRP) and faculties concerning projected enrolment and tuition fees, and the Ministry of Colleges and Universities (MCU) concerning grant allocations.

5.0 ANALYSIS AND STRATEGIC ALIGNMENT

Carleton's 2020-21 Operating Budget projects total revenue and expenses of \$502.4M. This represents an increase of \$13.3M from the opening 2019-20 approved budget of \$489.1M. This increase is mainly attributable to higher international tuition fees. In addition, a 1% reduction cut was applied to all RPC base budgets, to be re-invested in the university's strategic priorities.

Approximately 94% of operating revenue comes from tuition fees (60%) and government grants (34%). For expenditures, 69% comes from compensation (salaries and benefits). A further 11% relates to campus infrastructure and 10% to student support and enrolment growth.

The 2019-20 Operating Budget includes \$40.8 million in appropriations for: compulsory annual cost increases of \$6.0 million (e.g. negotiated salary increases, utilities), and discretionary allocations of \$34.8 million geared to enrolment linked budget allocations (ELBA) and to support the university's priorities.

Work on capital projects will continue in 2020-21, subject to the availability of labour and materials. The following projects are presently underway:

• Co-Gen Project:	\$20.7M
• Business (Nicol) Building:	\$65.1M
• Student Design Centre (Mackenzie Addition)	\$16.9M
• Campus Transportation Strategy	\$10.0M
• New Student Residence (Ancillary):	\$73.5M

The 2020-21 budget report (attached) provides the Board with information concerning the university's budget assumptions, priorities and financial details.

6.0 FINANCIAL IMPLICATIONS

The 2020-21 Operating Budget has been prepared in the context of continuing revenue pressures caused by: i) capped government grant funding on enrolment growth, ii) frozen tuition fees in 2020-21, and iii) SMA3 framework that will put enrolment grant funding at risk. However, operating expenses continue to increase at a rate of between 2-3% per year. As a result, the 2020-21 base operating surplus available to fund discretionary expenditures is lower than the historical trend and projected to continue to decline in the coming years. In 2020-21, the university will still be able to fund operating cost increases, support operating priorities, and has set-aside general contingencies to address the short-term effects of the

COVID-19 disruption. Uncertainties created by COVID-19 will inform budget decisions starting immediately.

7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT

The preparation and implementation of the operating budget involves the use of projections and estimates that increase the level of overall risk of not achieving the desired results. For example, a 1% deviation in enrolment will lead to an approximate \$3M variance (positive or negative) from tuition fee revenues.

The university has used conservative enrolment projections, as well as some conservative inflationary projections, to counteract the inherent enrolment risk. The university also maintains appropriate reserves and contingencies to address unexpected events.

From a legal point of view, to comply with its charter, the University must have a budget approved before the start of a new fiscal. The budget must also comply with the Board of Governors' directive that a break even result must be projected and achieved.

As discussed above, the impacts of the Covid-19 pandemic, its potential impact on enrollment and therefore revenue represent a significant financial risk to the University's operating budget. In order to mitigate the risk, various financial planning scenarios are being reviewed including the use of contingencies

8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

An entity's budget, and performance compared to the budget, can have major reputational implications. Constantly over estimating revenues and/or underestimating expenditures can lead to operating deficits and debt that can cause negative reputational issues as being good stewards of the funds we receive. At Carleton, we have deliberately and openly used conservative revenue and expense estimates since the mid 1990's when serious financial difficulties were encountered.

The communication of the budget to the Board is completed by the report being presented. Another key element of the communications plan is to present and discuss the budget allocations with the RPC chairs, so an understanding of the resource allocation decisions made is achieved.

9.0 OVERALL RISK MANAGEMENT ANALYSIS

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



Carleton
UNIVERSITY



2020-21 Budget Report

April 2020

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1.0 Introduction

Carleton University's annual budget planning process formally begins in the fall with the approval of the process and assumptions by the Finance committee of the Board of Governors. In line with the approved process, the 2020-21 operating budget was developed under the direction of the Provost and Vice-President (Academic) with substantial advice from the Provost's Budget Working Group (PBWG).

Our five-year Strategic Integrated Plan (SIP): Sustainable Communities – Global Prosperities continues to influence our strategic investment decisions. In addition, this year, the University has launched a new Strategic Integrated Planning process and the ideas gathered throughout the consultations have also contributed to defining our annual budget priorities for the year.

Indeed, in the initial Open Consultation Phase, the Strategic Integrated Planning (SIP) Task Force hosted more than 50 consultations and had more than 1,000 conversations with faculty, staff, students, community partners and alumni members about Carleton's strengths and vision for the future. This comprehensive input led to the Themed Consultation phase where the Carleton community was engaged in specific conversations about particular emergent themes. In early 2020, the draft Strategic Integrated Plan was distributed widely to the Carleton community in order to invite feedback and comments. Once the document is finalized, it will be presented to Senate and the Board of Governors for approval.

In parallel, during the Fall of 2019, Carleton began the process of negotiating a renewed Strategic Mandate Agreement (SMA3) with the Ministry of Colleges and Universities (MCU) of Ontario. SMA3 is aligned with the MCU's funding model reform and introduces a performance/outcomes-based grant in a differentiation funding envelope. While the document is essentially finalized, it has indeterminately been put on hold by the Province due to the current public health crisis. It is now doubtful that it will come into play for 2020-21.

Although Carleton is presently in good financial health, maintaining a balanced operating budget under the new provincial funding model, when it becomes operational, could become increasingly challenging. The following sections of this report describe the actions taken to support continued growth and further success at Carleton while continuing to maintain financial sustainability.

2.0 The Budget Process

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

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

The university's budgeting process is built on the principle of prudent financial management with emphasis on containing costs and investing in strategically focused initiatives. Maintaining sufficient reserves to cover operating contingencies and planned projects provides Carleton with a stable operating environment. The 2020-2021 budget follows this principle.

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

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

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

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

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

The Chief Budget Officer obtains information from numerous sources about the factors that may impact the university's operating budget from one year to the next. This includes such things as expected enrolment growth, inflation forecasts, future capital investments, and provincial grants. Economic, regulatory and operational risks are also assessed at the enterprise level and reflected in the budget assumptions.

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

Basis of Budgeting

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

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

Funds Description

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

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

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

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

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

3.0 Budget Priorities and Pressures

As part of its annual planning cycle, SIPC met in December to review Carleton's strategic directions and to identify goals and objectives for the upcoming budget year. For 2020-21, it was agreed that the work of the Strategic Transformation Groups (STGs) would continue to include: graduation and retention rates, research culture, and employability. The community engagement STG was transformed into the Community Engagement Steering Committee. In addition, work is underway to develop a comprehensive internationalization strategy.

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

2020-21 Budget Priorities

The operating priorities for the coming year are influenced by the Carleton Strategic Integrated Planning Committee and its senior leadership team. The shared university objectives and priorities for 2020-21 are:

- Improving student success and wellness;
- Increasing research productivity and impact; and
- Strengthening reputational credibility.

As the university works toward achieving its goals, planning efforts will also prioritize investments aimed at increasing and diversifying external revenue sources, implementing cost containment initiatives, the renewal off campus infrastructure, and emerging SIP themes.

Budget Pressures

Ministry of Colleges and Universities

As previously noted, the Ontario government announced a 10% reduction to all domestic tuition fees for 2019-20, followed by a tuition freeze in 2020-21. Carleton managed this tuition reduction in part by applying a 2% base budget cut to all RPC operating budgets in 2019-20, amounting to \$5.5 million. For 2020-21, an additional 1% base budget cut to all RPC operating budgets was applied, amounting to \$2.9 million, to free-up resources for strategic priorities. With the introduction of SMA 3, provincial operating grants from MCU will be capped at the 2019-20 level, with 25% of our grant becoming at-risk with the introduction of performance/outcomes-base funding. At-risk funding is planned to increase to 60% by 2024-25 and enrolment increases will continue to be limited by the corridor model introduced during SMA 2.

Regulatory Constraints

In years past, the university was able to manage annual cost increases through growth of both domestic and international students, supported by their corresponding provincial operating grants. However, current regulatory constraints introduced to the sector through SMA2, SMA3 and the tuition fee framework, result in projections of operating revenue increasing by approximately 1-2% per year over the next five years, while our base expenditures are planned to increase by 3-4%. Under this scenario, the one-time fiscal allocations, made through a base surplus, will no longer be possible by 2024-25.

The Current Public Health Crisis

The COVID-19 pandemic is having a major social and economic impact across all sectors. The disruption experienced by Carleton has affected every aspect of operations from teaching and research to administrative functions. Its impact on Carleton's financial position is expected to be material, especially if the ongoing crisis negatively impacts Fall 2020 enrolments. At this time it is not possible to accurately anticipate the nature and scale of enrolment impacts and a budget update will be presented in the Fall.

To strengthen financial stewardship, the Provost redesigned the process in which replacement faculty positions are allocated by requiring final position approval to come from PBWG. This step provides the Provost with greater control over the allocation and renewal of faculty positions, one of the university's single largest expense, and ensures that new positions and new hires are allocated to strategically important areas that support the university's teaching and research missions.

Plans are also underway to initiate an examination of the university's planning and budgeting model with the goal to (1) better align resource allocation to strategically important initiatives, (2) incentivize diversified and increased revenue streams, and (3) reward expenditure containment initiatives implemented by RPCs.

For 2020-21, Carleton remains in good financial health with an adequate level of reserves to face the impacts of unexpected events such as the current public health crisis

4.0 Financial and Budget Policies

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

Balanced budget

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

Revenue projections

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

Risk management

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

Capital Planning and Approvals

All proposals for infrastructure renewal, departmental/faculty projects or projects arising from dedicated government funding at or over \$5M are brought forward to the Building Program and Finance Committees for review and approval by the Board of Governors. A new Capital Planning Policy was approved by the Board in 2019.

Debt policy

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

Investment policies

Carleton University Retirement Plan's Statement of Investment Policies and Procedures (SIPP) addresses the manner in which the Retirement Plan assists in providing plan beneficiaries with a financially secure retirement income at a reasonable cost. A similar SIPP is in place for the university's endowment funds and other investable assets. The Statement of Investment Policies and Procedures must be reviewed and approved annually by the Board of Governors.

Operating and Capital Reserves

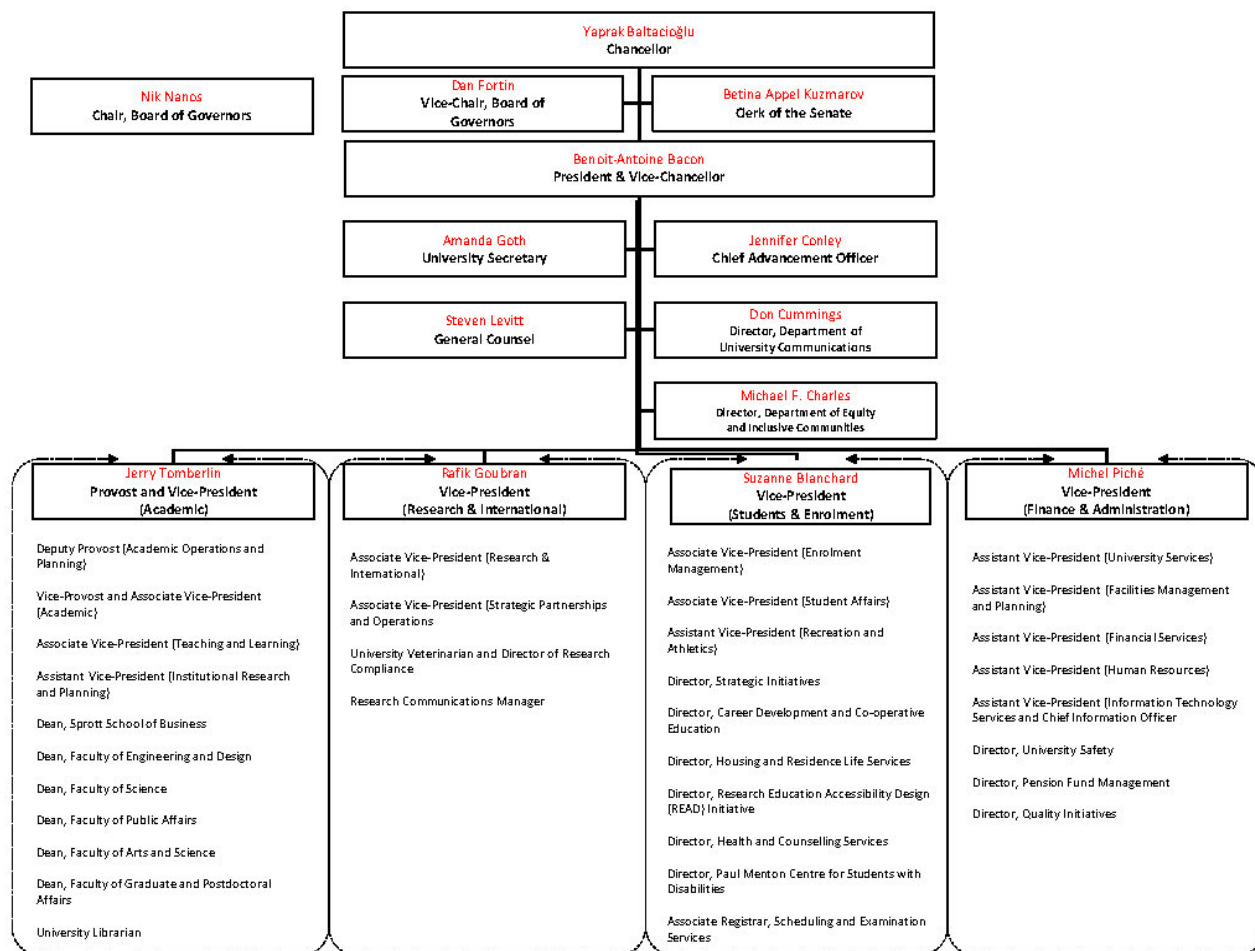
Carleton University recognizes that reserves are the cornerstone of financial flexibility to manage risks inherent in long-term financial planning. Reserves are held centrally and within academic units to support specific strategic initiatives as well as to address economic uncertainties. Appropriated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

Broader Public Sector Expenses Directive

As a designated BPS organization, Carleton University must comply with this provincial legislation, which determines specific rules for expenses covered by the use of public funds.

All financial and budget policy details may be found at: <https://carleton.ca/secretariat/policies/>

5.0 Organizational Chart



List of Resource Planning Committees (RPC)

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

6.0 The Operating Budget

In 2020-21, Carleton projects to generate a balanced operating budget, with revenues and expenditures of \$502.4 million, compared to \$489.1 million in 2019-20. This section provides detailed information on the components of revenues and expenditures. Section 8.0 provides further details on the operating budget.

In summary:

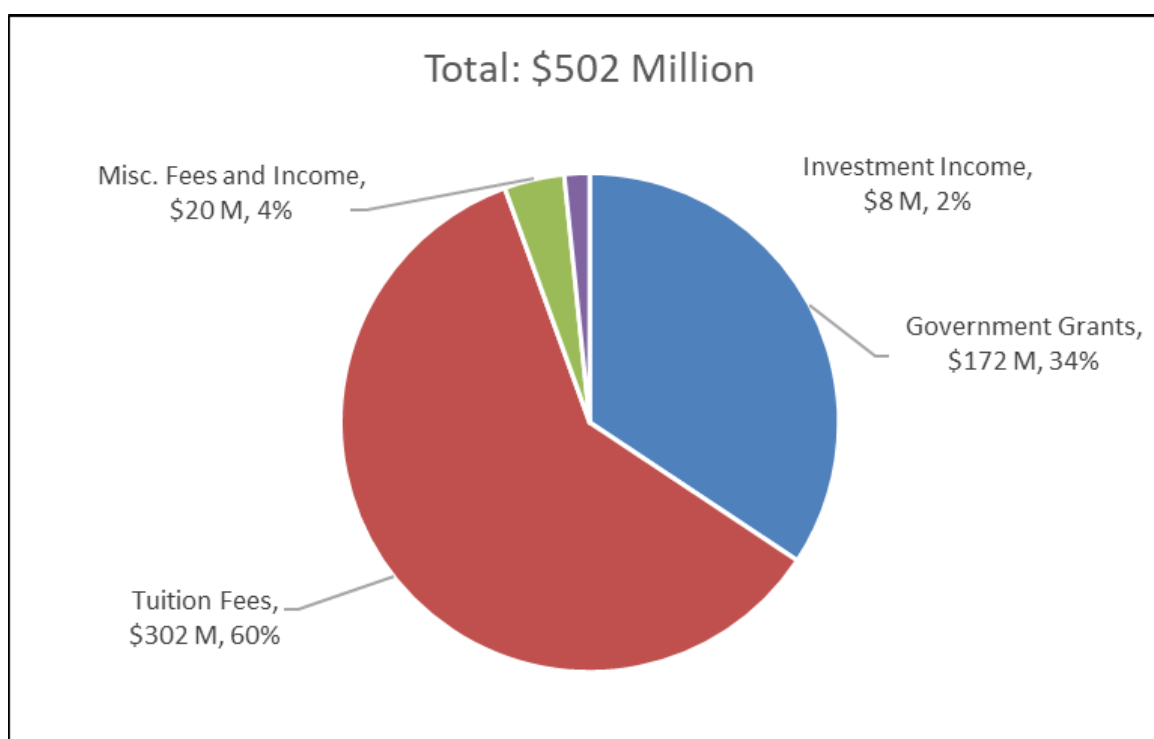
	<i>2019-2020</i>	<i>2019-2020</i>	<i>2020-2021</i>
	<i>Budget</i>	<i>Projected Actuals</i>	<i>Proposed Budget</i>
	<i>(\$000's)</i>	<i>(\$000's)</i>	<i>(\$000's)</i>
Income	489,132	509,524	502,380
Expenditures and Transfers	489,132	486,624	502,380
Net Result	-	22,900	-

The following sections compare the 2020-21 Proposed Budget with the 2019-20 Approved Budget.

6.1 Operating Income

The operating fund is supported by four key revenue sources:

- **Tuition fees** – With the government mandated a 10% fee cut to all domestic tuition rates in 2019-20 and a freeze for 2020-21, tuition fees now represents the university's largest funding source at approximately 60%.
- **Government operating grants** – The Ontario government is the second largest source of funding, with grants comprising 34% of operating funds. This funding includes the core operating grant and performance grants, as well as special purpose grants. Also included in operating grants is the funding for federal and provincial research overheads, at approximately 1% of total operating revenue.
- **Investment income** – Income generated on cash investments and internally financed loans provide approximately 2% of the annual operating revenue budget.
- **Other income** – These revenues represent 4% of the operating revenue budget and relate mostly to application fees, deferred payment and late registration, overhead recoveries and departmental income.



Operating income is expected to total \$502,380,000, an increase of \$13,248,000 over the 2019-20 Approved Budget. Each category is reviewed below.

6.2 Government Operating Grants

Government grants for 2020-21 are projected to be \$91,000 above that in the 2019-20 Approved Budget.

	2019-2020 Budget	2019-2020 Projection	2020-2021 Proposed Budget	Budget Change
	(\$000's)	(\$000's)	(\$000's)	(\$000's)
Core Operating Grant	151,120	150,875	150,875	(245)
Performance Funding	13,172	12,564	12,824	(348)
Research Overheads	5,147	5,701	5,701	554
Other grants	2,953	2,938	3,083	130
Grants offset by additional expense	-	4,440	-	-
Total	172,392	176,518	172,483	91

In August 2017, the Ministry of Colleges and Universities (MCU) implemented a new funding model that is to provide predictable, enrolment-based core funding based on a corridor funding system. The design of the new funding model is based on realigning a number of existing grants and includes three major components: Enrolment, Student Success, and Special Purpose. There have been no changes to this funding model for the 2020-21 fiscal year.

The overall increase in the proposed grant income budget is the result of minor variances in the performance-related funding and international student recovery, offset by positive changes in the expected research overheads.

Other grants include Access for the Disabled, Municipal Tax and Credit Transfer funding, while grants offset by additional expense relate to special purpose grants received during the year from the Ministry for targeted initiatives such as student success and financial support. The proposed opening budget for 2020-21 does not include amounts for these restricted grants, which will be adjusted during the year as amounts are confirmed and received.

6.3 Tuition Fees

On January 17, 2019, the MCU announced a new tuition framework that would see domestic tuition fees decrease by 10% in 2019-20, and then remain flat for 2020-2021. The guidelines still allow for tuition fee differentiation based on program and program year of study and does not apply to international tuition fees.

As the international fees are not regulated, fees each year are set using a number of factors, including comparison with other institutions, recruitment strategies and impact on the existing international study body. International tuition fee increases for 2020-21 are similar to those applied in 2019-20 ranging between 0% and 8%.

Fee increases, based on these guidelines, were approved by the Board of Governors at the March 12th, 2020 meeting.

The following chart compares tuition revenue by category from the Approved 2019-20 Budget to the 2020-21 Proposed Budget:

	2019-2020 Budget	2019-2020 Projection	2020-2021 Proposed Budget	Budget Change
	(\$000's)	(\$000's)	(\$000's)	(\$000's)
Undergraduate Fees	234,971	235,840	242,902	7,931
Summer Session Fees	21,133	19,710	19,980	(1,153)
Graduate Fees	34,996	38,554	39,180	4,184
Total	291,100	294,104	302,062	10,962

Tuition revenues being projected in the Proposed Budget total \$302,062,000, which is \$10,962,000 more than those presented in the 2019-20 Approved Budget. The 2019-20 tuition fee projection of \$294,104,000 accounts for \$3,004,000 of this increase, while the remaining positive variance of \$7,958,000 relates to the 2020-21 fee increases for international students, and enrolment growth flow through. It is assumed that in fall 2020, Carleton will have a first-year, full-time enrolment of 6,333 students, an increase of 60 students from fall 2019.

6.4 Other Income

Other income is expected to total \$19,585,000, which is \$2,195,000 more than that in the 2019-20 Approved Budget. The main components are as follows:

	2019-2020 Budget	2019-2020 Projection	2020-2021 Proposed Budget	Budget Change
	(\$000's)	(\$000's)	(\$000's)	(\$000's)
Miscellaneous fees	6,533	6,736	6,578	45
Miscellaneous income	4,548	6,551	5,148	600
Department income	6,309	7,771	7,859	1,550
Total	17,390	21,058	19,585	2,195

The increase in other income relates mostly to demand-based departmental fee revenue such as Cooperative Education. Administrative overhead recoveries have also increased.

6.5 Short-Term Investment Income

Short-term investment income is forecasted to total \$8,250,000 for the 2020-21 fiscal year.

The breakdown is as follows:

	2019-2020	2019-2020	2020-2021	Budget
	Budget	Projection	Proposed Budget	Change
	(\$000's)	(\$000's)	(\$000's)	(\$000's)
Investment income on cash flows	6,950	16,943	6,972	22
Endowment income*	270	273	275	5
Interest charges to ancillaries and internal loans	1,030	1,034	1,003	(27)
Total	8,250	18,250	8,250	-

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

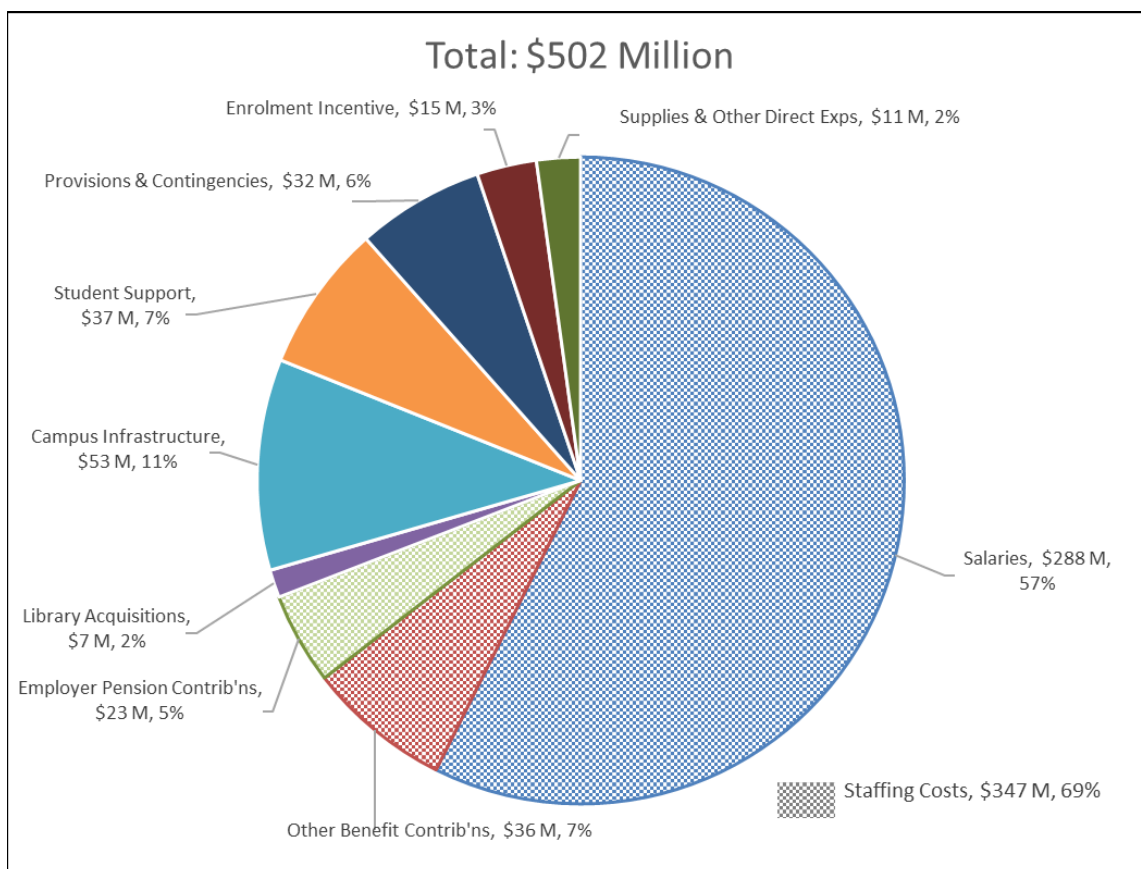
In 2015, the Investment Committee decided to invest \$100 million of available operating cash in equity funds. As of February 2020, this decision had yielded higher than expected results however, as we have seen in recent weeks, the equity funds are more susceptible to market risks. To mitigate this risk and shield the operating budget from large variations in actual results, the short-term investment income budget will remain at \$8,250,000 and any variation in actual investment income earned will be appropriated to, or drawn from, an investment income equalization fund. As at May 1, 2019, the investment income equalization fund had a balance of \$40.7 million.

6.7 Operating Expenditures

The operating expenditures proposed for 2020-21 amount to \$502,380,000, as compared to \$489,132,000 in the 2019-20 approved budget and \$486,624,000 in projected 2019-20 expenditures.

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

- Salaries and benefits – Essential to the university's mission, compensation for its people is by far the most significant expense category at 69% of the total operating expense budget.
- Campus infrastructure – The next most significant category at 11%, relates to expenditures for maintenance, renovations, facilities, utilities and equipment, all of which are essential for continuing operations.
- Student support and enrolment incentives– Approximately 10% budget funds are earmarked for costs associated with enrolment growth and student support such as – scholarships, bursaries and awards provided by the university in addition to the government's Ontario Student Assistance Program (OSAP).
- Other expenditures – The remaining areas of known expenditure amount to 9% of the operating budget and include library acquisitions, research support, campaign matching funds, travel and supplies.
- Provisions and contingencies – As noted above, the university has made revisions to its initial budget allocations such that 6% of the fiscal budget can be redirected to address financial uncertainties relating to the COVID-19 disruption.



6.8 Compulsory Increases and Discretionary Resource Allocation

The following table illustrates the allocation of resources, including provisions and contingencies, as well as the university mandated budget reduction of 1% due to the government's requirement to keep domestic tuition fees unchanged in 2020-21.

	<i>Budget Reduction Applied</i>	<i>Base Budget Allocation</i>	<i>Fiscal Budget Allocation</i>
	(\$000)	(\$000)	(\$000)
Faculty of Arts and Social Sciences	(558)	2,129	1,842
Faculty of Public Affairs	(371)	1,153	1,359
Sprott School of Business	(133)	591	538
Faculty of Science	(393)	3,660	4,245
Faculty of Engineering and Design	(409)	1,709	1,487
Provost and Vice-President (Academic)	(104)	250	2,900
Vice-President (Students and Enrolment)	(223)	620	3,925
Library	(178)	490	776
Vice-President (Research and International)	(54)	170	1,480
Vice-President (Finance and Administration)	(347)	717	7,370
President	(48)	276	581
Advancement	(53)	70	-
University Expense Budgets	-	4,247	6,028
Total	(2,871)	16,082	32,531

As initiatives requiring additional resources can encompass several types of expenditures, resource allocations have been grouped by RPC above, and budget priority below.

	<i>Base Budget Allocation</i>	<i>Fiscal Budget Allocation</i>
	(\$000)	(\$000)
Student success and wellness	3,835	10,750
Research productivity and external research funding	1,619	4,417
Investing in our reputation	1,823	1,771
Supporting Initiatives: community campus, SIP priorities and infrastructure	1,992	7,980
Revenue generation, cost containment initiatives	-	800
Enrolment incentive	6,813	6,813
Total	16,082	32,531

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

President

The President's Office will work at integrating the principles of the newly approved Strategic Integrated Plan (SIP) into the university's planning and budgeting framework. The overall goal of the SIP is to make Carleton a leading teaching and research-intensive university and the SIP will serve to frame many of the initiatives either underway or in planning. The areas of priorities in 2020-21 will include international and research strategies, indigenous initiatives, accessibility programs, a campus energy and sustainability plan, and many more. In the coming year, the Office of the President will increase capacity in communications and government relations and lead a multi-year rebranding effort.

Provost and Vice-President (Academic)

The Provost and Vice-President (Academic) is tasked with implementing measures and monitoring Carleton's results toward meeting its performance targets as identified in our renewed Strategic Mandate Agreement (SMA 3) with the Ministry of Colleges and Universities (MCU). Additionally, as co-chair of the Carleton University Indigenous Strategic Initiatives Committee, the Provost will lead the implementation of the calls to action tabled during the 2019-20 academic year beginning in the 2020-21.

The Provost, through the Office of the Deputy Provost, will undertake a review of the university's planning and budgeting cycle and mechanism, in an effort to increase entrepreneurialism, cost containment and accountability at Carleton. The faculties and the Teaching and Learning Services unit will continue to implement the recommendations of the Student Success in the Classroom Working Group. These initiatives include high-impact practices and course transformation, and experiential learning. Resources have also been approved to support the implementation of a new Learning Management System.

Faculty of Arts and Social Sciences

In 2020-21, the Faculty of Arts and Social Sciences (FASS) will be working to expand its teaching and research in the area of wellness. As a first step in implementing this strategy, the faculty will be developing a Bachelor of Wellness and Sustainability degree through a national and international flagship program. Plans are also underway to compliment this strategy with the development of a Wellness Hub to incorporate teaching, research and activities in wellness.

To enhance research activities, FASS will be investing to provide faculty with seed funding, matching funds, and start-up funds. FASS will also focus on improving the faculty's knowledge dissemination and communications to share the excellent work coming out of the faculty. FASS through the School of Indigenous and Canadian Studies, will be a key contributor to the implementation of the Provost and CUISIC Taskforce Calls to Action approved in 2019-20.

Faculty of Public Affairs

The Faculty of Public Affairs (FPA) plans to increase its research efforts to support unit-level research such as: the FPA Post-Doctoral Fellow program, the FPA Research and Grant program and the FPA Research Time Awards. Additionally, the faculty has earmarked resources for student support and recruitment, which include: teaching assistantships, experiential learning initiatives, and a Scholar-in-Residence to develop a series of case studies to engage students in problem-based learning.

FPA will also be making investments to improve the space utilization within the faculty. Kroger College, the Department of Political Sciences, and multiple spaces within Richcraft Hall and Dunton Tower will be re-designed to accommodate the changing needs of faculty and students.

Sprott School of Business

The Sprott School of Business will enhance marketing and promotion initiatives, and will work towards the creation of an innovation Hub designed to provide students across campus with access to funding, accelerate, and scale entrepreneurial ventures. The School has been able to secure FedDev funds through Invest Ottawa to launch this initiative

Sprott is also investing in increasing experiential learning activities for its students. In 2019, Sprott signed an agreement with the Rotterdam Business School to jointly run an international case competition, which will be hosted every other year by each institution (at Sprott in Fall 2021). As a host of this competition, Sprott has the opportunity to further increase student engagement and its reputation for excellence in case analysis. The new Innovation Hub will provide further opportunities for Sprott to participate in national and global competitions focused on entrepreneurship.

Faculty of Science

The Faculty of Science continues to experience steady growth in many of its programs, with the area of computer sciences growing at a rate that outpaces any other. To support this continuing growth, the faculty will be increasing teaching, research and staff positions. There are also plans to renovate the Steacie Building for Chemistry and the McMullin lab. Development in the following new programs that begun in 2019-20, will continue:

- Masters of Biotechnology (Biology);
- Masters of AI and Machine Learning (SCS);
- Masters of Actuarial Science (M&S);
- Graduate Diplomas and Certificates are being developed in Chemistry, Neuroscience, and Health Science.

Faculty of Engineering and Design

The Faculty of Engineering and Design (FED) has identified a need to increase its teaching and research capacity. The faculty has seen a 111% increase in undergraduate students since 2003 and a 32% increase in academic positions over that same time. To maintain FED's leading position in its fields of study and research, it plans to significantly increase its faculty complement during the next three years. This hiring strategy is the basis that will support FED's operating objectives and priorities for 2020-21.

Vice-President (Research and International)

The Office of the Vice-President (Research and International) will continue to invest in supporting technology transfer, commercialization, and intellectual property management through patents, outreach, promotion, and administrative support. Efforts will focus on providing resources to researchers in support of their grant applications and multidisciplinary research clusters. Investments will be made to gain new partnerships, while strengthening existing ones, as well as to increase delegate visits, and showcase Carleton's research.

Vice-President (Student and Enrolment)

Priorities for the Office of the Vice-President (Student and Enrolment) include increasing the capacity of the Paul Menton Centre, the ACT to Employ program, which helps students with disabilities find paid experiential learning opportunities, and student counselling services. The office is also overseeing the establishment of the Canadian Accessibility Network, which oversees the Carleton's Research, Education, Accessibility and Design (READ) Initiative. Work will continue in the implementation of the university's Customer Relationship Management (CRM) system, and upgrades to Carleton's mobile applications are planned to begin.

Vice-President (Finance and Administration)

A key priority for the Finance and Administration RPC (F&A) in 2020-21 will center around the development of a university-wide digital strategy, with emphasis on identifying sustainable IT solutions that align existing capabilities with new service delivery models. The strategy will also include a multi-year IT infrastructure renewal plan. Related IT priorities will be to enhance existing technology to improve F&A systems and processes, and to continue with the implementation of the university's multi-year Research IT Support Plan.

Other priorities will focus on the delivery of the major capital projects underway, such as the new business building and student residence, and the renewal of the campus buildings and infrastructure. Of particular importance will be the management of campus transportation and parking during the O-Train expected 24-month shutdown.

Library

The Library plans to continue to improve access to collections & data for research, teaching, and learning and to provide capacity for core and emergent initiatives in the areas of digital preservation, researcher identifiers, research performance, analytics, and online reference services. Investments continue to support the Statistics Canada Research Data Centre and the Book Arts lab.

Advancement

Advancement will continue to build on the success of the recently completed \$300 million campaign by growing the base of donors and to work with outside partners to advance the research mission of the university.

University Budgets

University Budgets represent expenditure items that are integral to the operations of the university, yet are often out of the direct control of the units that manage them. Examples include student support, utilities, facilities upgrade and IT systems. Most increases to university budgets relate to normal annual increases. Investments in scholarships and bursaries were awarded additional base amounts, particularly at the international PhD graduate level.

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

6.9 Provisions and Contingencies

The 2020-21 Proposed Budget contains the following provisions and contingencies:

	<i>Existing Base Budget</i>	<i>New Allocations</i>	<i>2020-2021 Proposed Budget</i>
	(\$000's)	(\$000's)	(\$000's)
a) General contingencies	5,946	10,880	16,826
b) Enrolment incentive (ELBA)	12,002	(5,653)	6,349
c) Strategic contingency	7,000	3,000	10,000
Total provisions and contingencies	24,948	8,227	33,175

- The general contingencies total \$16.8 million and relate mostly to foreseen requirements that cannot be immediately quantified.
- In 2009-2010 the university introduced a plan whereby faculties would be rewarded for enrolment growth. The plan calls for the resources to be built into the faculty base over time. For 2020-21, \$6.8 million of undergraduate enrolment growth incentive is being distributed to the faculties on May 1, 2020. The balance in the contingency represents an undistributed base amount of \$5.2 million from previous years, as well as a \$1.2 million estimate of the enrolment growth incentive required for the 2020-21 academic year.
- Prior to March 2020, the status of the pension plan continued to be a financial liability for the university and \$7 million of base operating funds were earmarked for required special payments on the plan's deficit. The plan's July 1, 2019 valuation was completed under the province's new pension plan funding rules and was filed in March 2020. Under these new rules, solvency funding will not be required, as the plan's funded status was above 85%. However, the going-concern deficit of \$59.3M is allowed to be amortized over 10 years. The Pension Committee recommended the accelerated funding of this deficit by making an immediate special payment. Doing so is expected to save the university \$27 million in special payments had the deficit been funded over 10 years. The Board of Governors approved this accelerated payment at its March 12, 2020 meeting.

Given the global and economic uncertainty of the impacts the COVID-19 outbreak will have on investments, student enrolments and other market factors, the university has repurposed the existing \$7 million pension special payment budget towards a special contingency to address COVID-19 financial impacts. This contingency will also hold an additional \$3 million from fiscal savings related to new hires that do not happen immediately at the start of the fiscal year.

7.0 Five-year Financial Outlook

The university uses a five-year rolling forecast to inform the allocations for the upcoming budget year. The premise of the model is that the budget must break even in every year. It is expected that ongoing base expenditures will equal ongoing base revenues in year five of the plan. This outlook assumes that the effects of the COVID-19 pandemic are not long term in nature, and the base budget will remain unaffected.

On the revenue side, the enrolment projection included in the plan is based on 2019-20 student flow-through, plus an increase in new full-time first year enrolment of 1.1%. Tuition fee rates are assumed to start increasing by an average of 3% starting in 2021-2022, after the current framework expires.

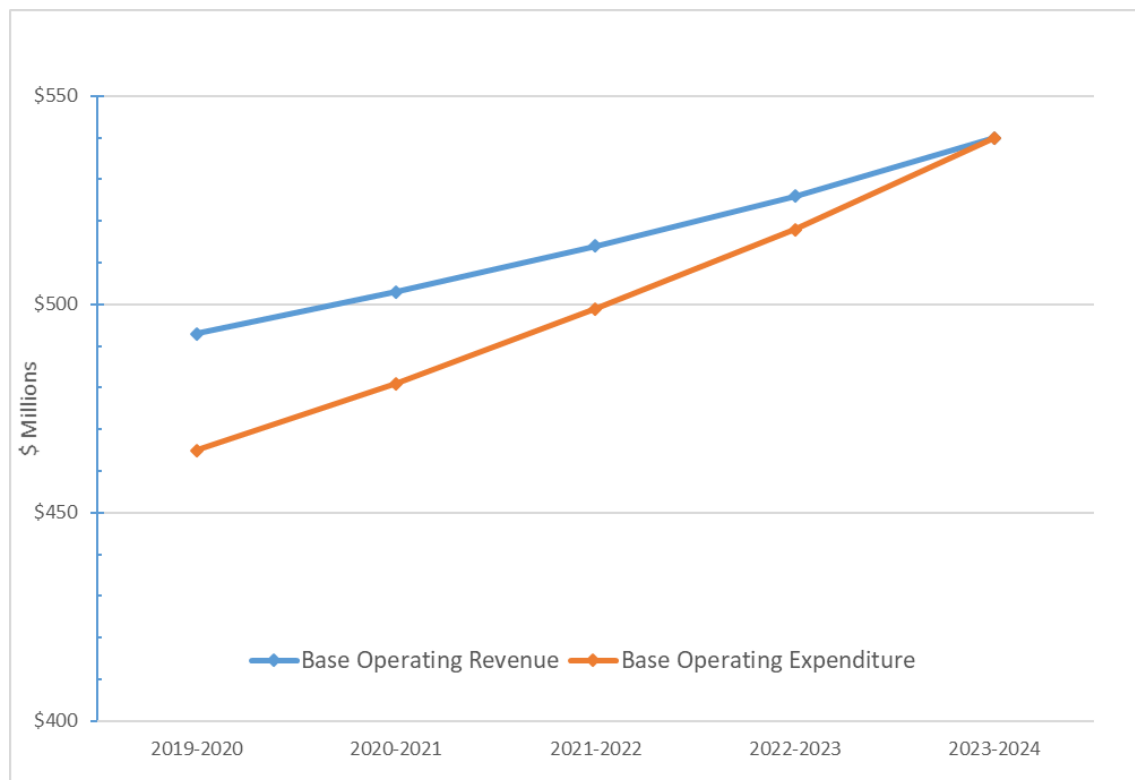
The majority of operating grant dollars starting in 2020-21, will be governed by Carleton's Strategic Mandate Agreement (SMA3). SMA3, which comes into effect May 1, 2020 for the next five academic years, introduces performance-based funding with a grant ceiling capped at the 2019-20 level. Carleton expects to meet its performance standards going forward, and as such, core operating grant revenue is assumed to remain constant over that period.

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

Applying the assumptions described above shows that expenditures are expected to increase at a faster rate than revenues. In order to achieve a break-even result in year five of the plan, discretionary allocations towards base expenditures cannot exceed \$6.0 million in each of the next four years.

The long-term plan is based on conservative assumptions, and will be revisited in the fall of 2020, once actual enrolment is known. Favorable changes to the forecast would be influenced by enrolment growth, higher non-regulated revenues, and operating efficiencies. Unfavorable changes would be impacted by a continuing tuition fee freeze, funding grant reductions or higher than planned cost increases.

	2019-2020	2020-2021	2021-2022	2022-2023	2023-2024
	<i>Base Budget</i>	<i>Base Budget</i>	<i>Outlook</i>	<i>Outlook</i>	<i>Outlook</i>
	(\$M's)	(\$M's)	(\$M's)	(\$M's)	(\$M's)
Base Revenues					
Tuition	294	302	313	325	339
Grants	172	172	172	172	172
Other revenues	27	29	29	29	29
Total revenue	493	503	514	526	540
Base Expenditures					
Faculties, Student and Professional Services	288	304	321	339	361
Provisions and Contingencies	25	16	14	12	10
University Budgets	152	155	158	161	163
Base Available for Allocation	-	6	6	6	6
Total Base Expenditures	465	481	499	518	540
Fiscal amount available	28	22	15	8	-



8.0 Approval of the 2020-2021 Operating Budget

Carleton University 2020-2021 Proposed Operating Budget (000's)			
	Approved Budget 2019-2020	Proposed Budget 2020-2021	Change fm Prior Year Budget
<u>Income</u>			
Government Grant	172,392	172,483	91
Tuition Fees	291,100	302,062	10,962
Investment Income	8,250	8,250	-
Other Income	17,390	19,585	2,195
Total Operating Income	489,132	502,380	13,248
<u>Expenditures and Transfers</u>			
Faculty of Arts and Social Sciences	54,260	56,448	2,188
Faculty of Public Affairs	35,794	37,654	1,860
Sprott School of Business	13,044	13,480	436
Faculty of Science	39,179	42,854	3,675
Faculty of Engineering and Design	39,606	41,915	2,309
Provost and Vice-President (Academic)	11,551	14,329	2,778
Vice-President (Students and Enrolment)	24,020	26,869	2,849
Library	17,693	18,350	657
Vice-President (Research and International)	6,407	6,939	532
Vice-President (Finance and Administration)	40,687	41,819	1,132
Advancement	5,459	5,289	(170)
President	5,469	5,513	44
University Budgets and Transfers	157,170	157,746	576
Provisions and Contingencies	38,793	33,175	(5,618)
Net Appropriations	-		-
Total Expenditure and Transfers	489,132	502,380	13,248
Net Result	-	-	-

As shown above, the 2020-2021 Operating Budget being proposed meets the objective set out by the Board of Governors in the fall of 2019 in that a balanced budget be developed.

The 2020-2021 Operating Budget is therefore respectfully submitted to the Board of Governors.

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

M. Piché
Vice-President (Finance and
Administration)

2020-21 Operating Budget

Finance Committee

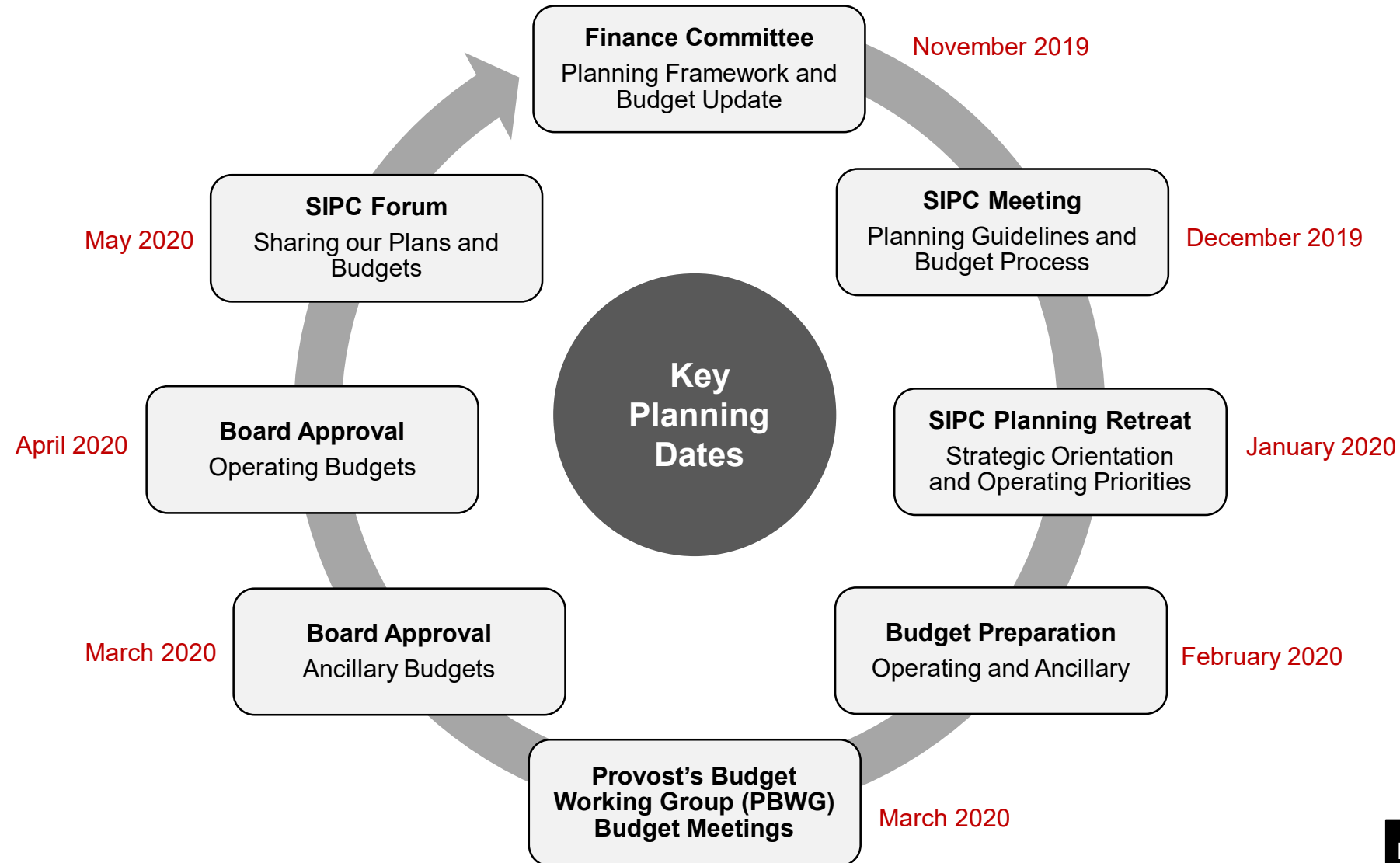
April 16, 2020



Carleton
UNIVERSITY



Key Planning Dates



Planning Principles

- Enhancing our Academic Mission
- Achieving our SIP goals: current and future
- Achieving SMA-3 performance targets
- Transparency and clarity
- Financial stability and sustainability
- Revenue generation and diversification



2020-21 Operating Priorities

1. Student Success and Wellness
2. Research productivity and external research funding
3. Investing in our reputation

Longer-term:

- Diversifying and increasing revenue from sources other than government
- Investing in cost containment strategies to promote smart use of resources

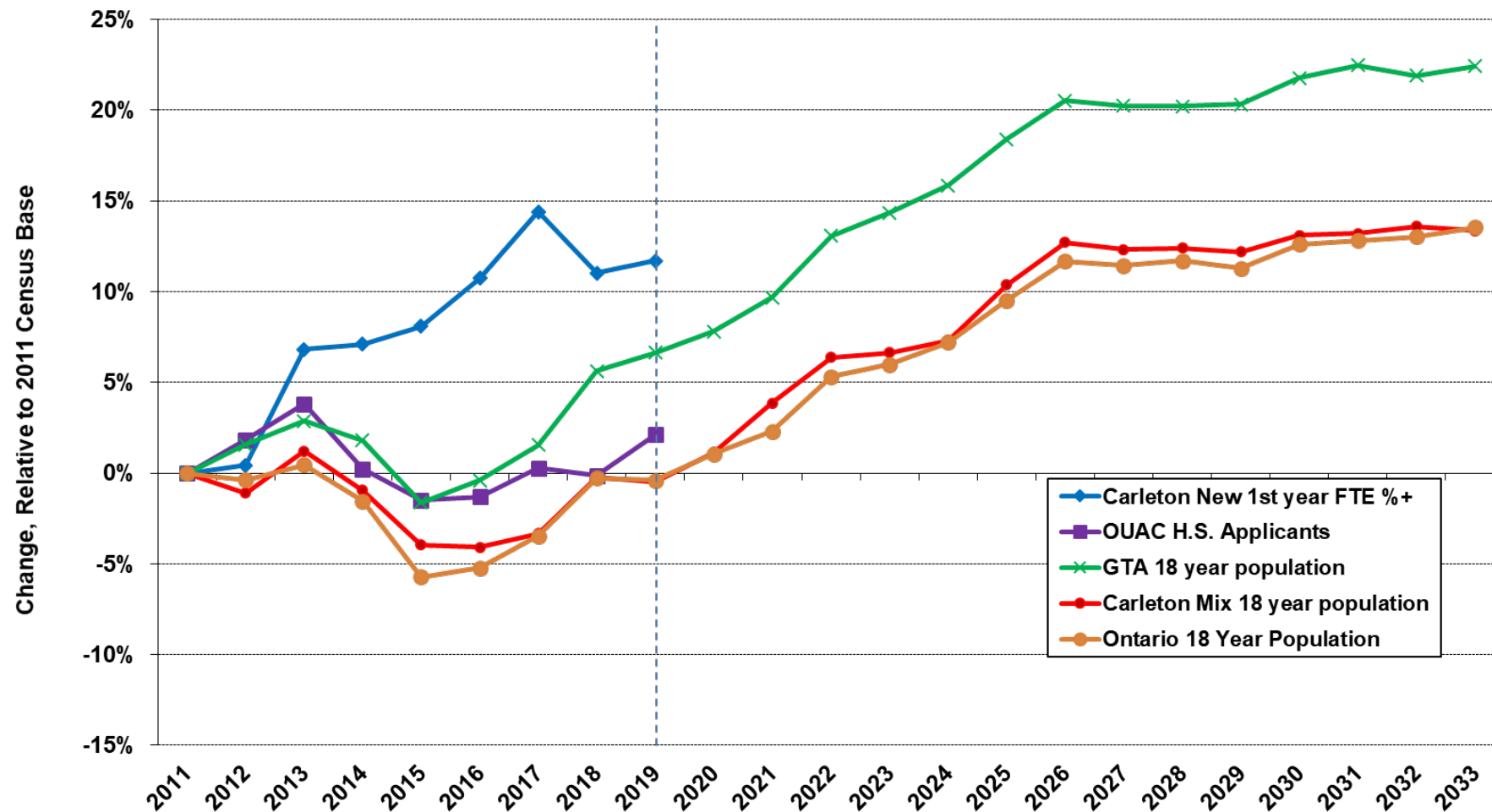


Budget Prioritization Process

- RPC Chairs Submitted Proposals to the Group of RPC Chairs, including:
 - Usage of any Carry Forward Funds
 - 1% Base Budget Reduction, Referring to Priorities
 - Requests for Additional Resources, Referring to Priorities and Distinguishing between Base and Fiscal Requests
- PBWG Prioritized Requests and Recommended the 2020-21 Budget



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



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

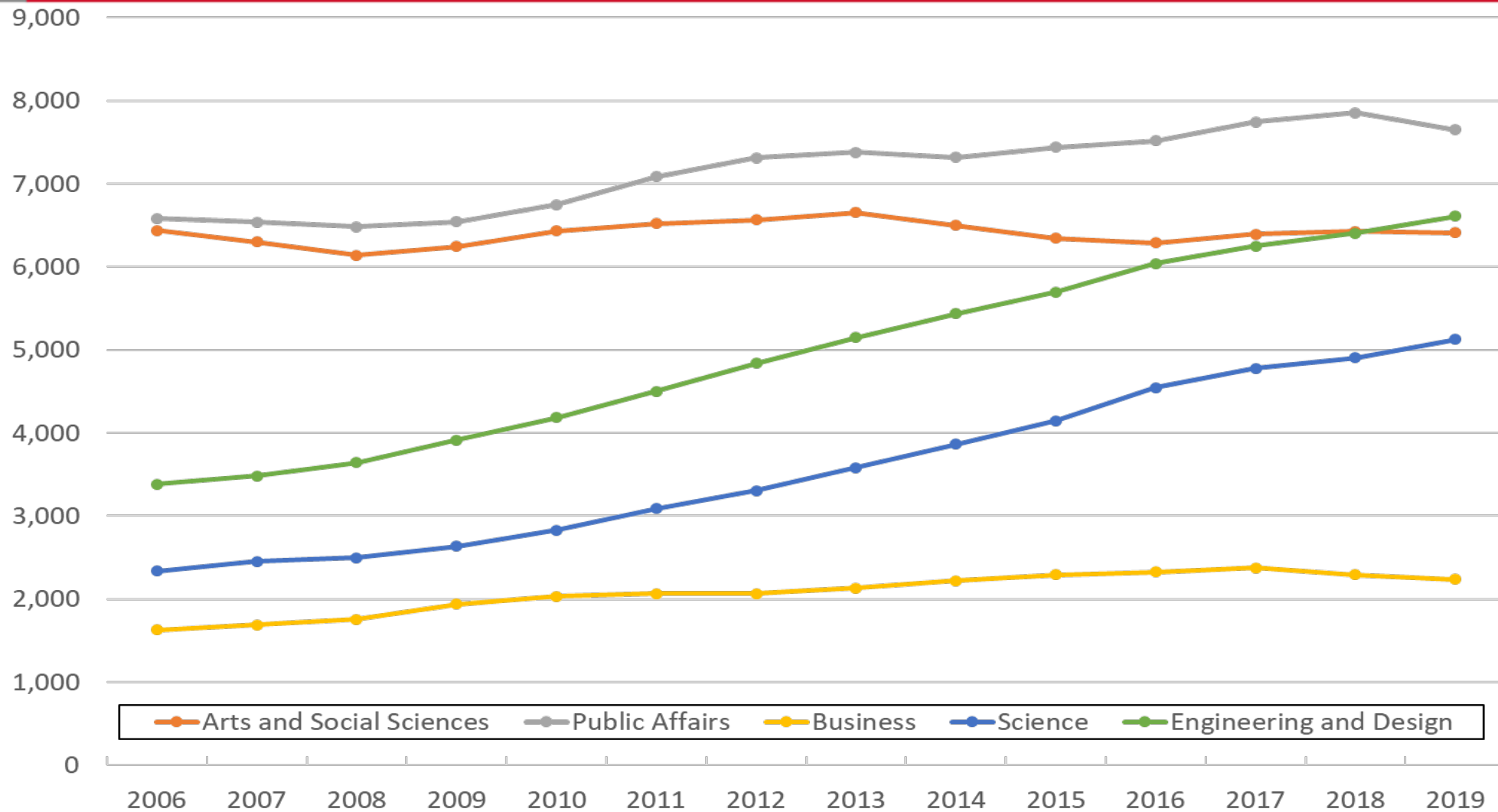
Ontario University Application Centre (OUAC) yearly statistics, OIRP Data cubes

"Carleton Mix" is calculated based on actual Ontario enrolment mix Ontario intake (Fall 2019).

OUAC data from 2019 is as at Sept 13, 2019

Office of Institutional Research and Planning: 2019-11-01

Undergraduate Enrolment Growth by Faculty



Applicants/Targets – Fall 2020

Ontario University Application Centre Systems Data – First Year Undergraduate

	2019	2020	% +/-
Applicants	151,326	147,195	-2.7%
Confirmations	(Final) 103,373	n/a	(up 2.6% from 2018)
Applicants (H.S. – ‘OUAC 101s’)	91,761	89,120	-2.9%

Carleton University First Year Undergraduate

	2019	2020	% +/-
Applicants	23,658	23,085	-2.4%
Approved	13,624	14,076	3.3%
Confirmed	1,716	1,823	6.2%

Carleton University Target (Full-time Fall)

	2019	2020	% +/-
First Year	6,273	6,333	1.0%
First Year (New)	5,402	5,462	1.1%
Undergraduate	21,447	21,533	0.4%
Total Enrolment (All Students)	31,413	32,467	0.3%

OUAC data as at Mar. 5, 2020; Carleton data as at April 3, 2020 (with matched dates in 2019)



The background image shows a modern building with a glass and metal facade, situated behind a body of water. A train is visible on a bridge or elevated track in the middle ground. In the foreground, there are tall reeds or grasses. A large red semi-transparent banner covers the middle portion of the image, containing the text.

2020-21 Operating Budget

2020-21 Budget Summary

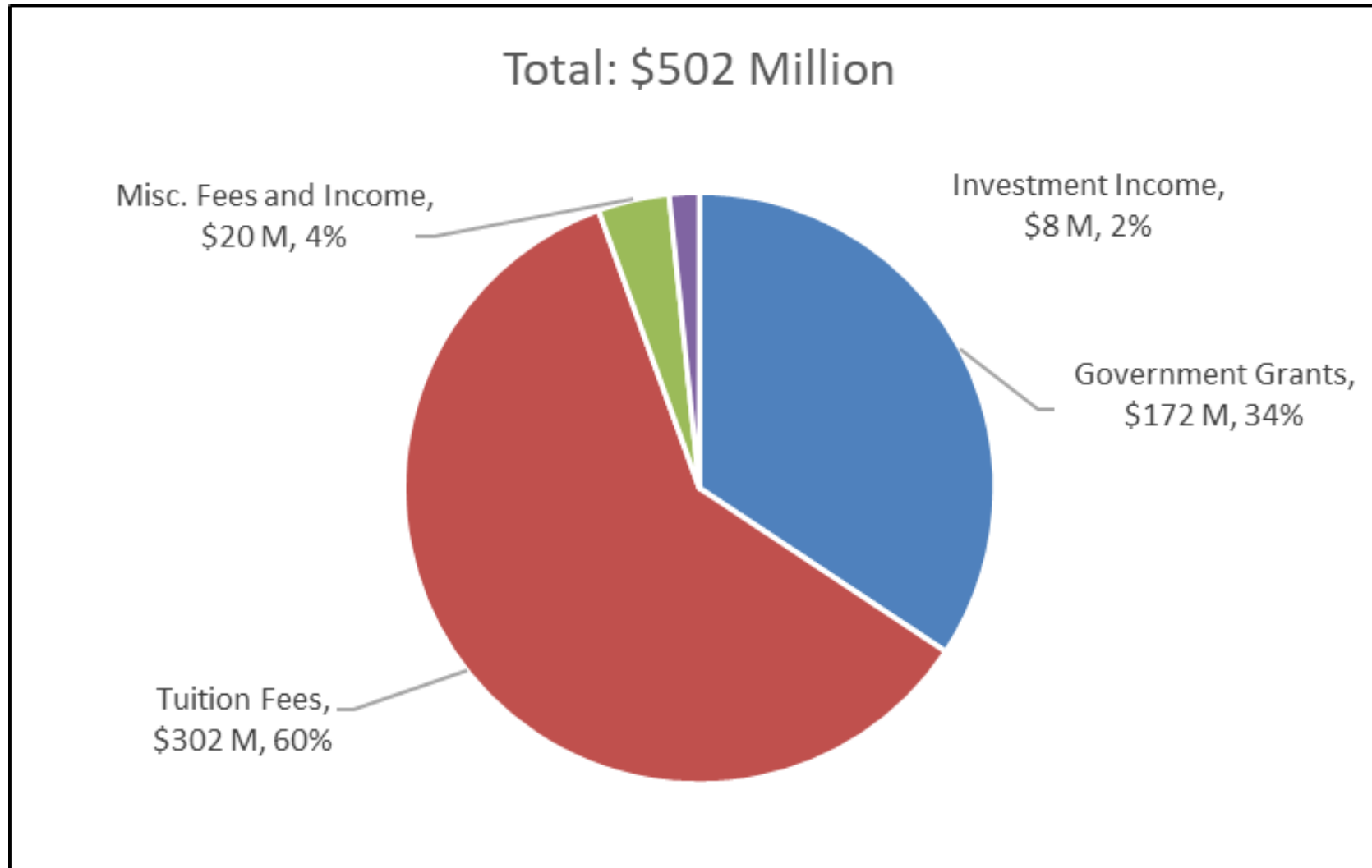
\$Million	2019-2020 Budget	2019-2020 Projected Results*	2020-2021 Proposed Budget	Variance to 2019-2020 Budget
Government Grant	172	176	172	-
Tuition Fee	291	294	302	11
Investment Income	8	18	8	-
Other Income	18	22	20	2
Total Revenue	489	510	502	13
Total Expenses	489	487	502	13
Operating Results	-	23	-	-

Notes 2020-2021 Budget vs. 2019-2020 Budget:

1. Government Grant - Small increase expected in overhead grants
2. Tuition Fees - assumes 0.4% UG growth & no graduate growth; flat domestic fees & 0-8% international fee increases
3. Expenses – 1% budget cut applied to all RPC's for reinvestment in budget priorities

* As of January, 2020.

Projected Revenues for 2020-21



Year Over Year Revenue Changes

Total Revenues \$502M, + \$13M

Changes between 2020-21 and 2019-20 opening budgets

Tuition Fees	\$302M	+ \$11M
Government Grant	\$172M	no change
Investment Income	\$ 8M	no change
Other Income	\$ 20M	+ \$ 2M

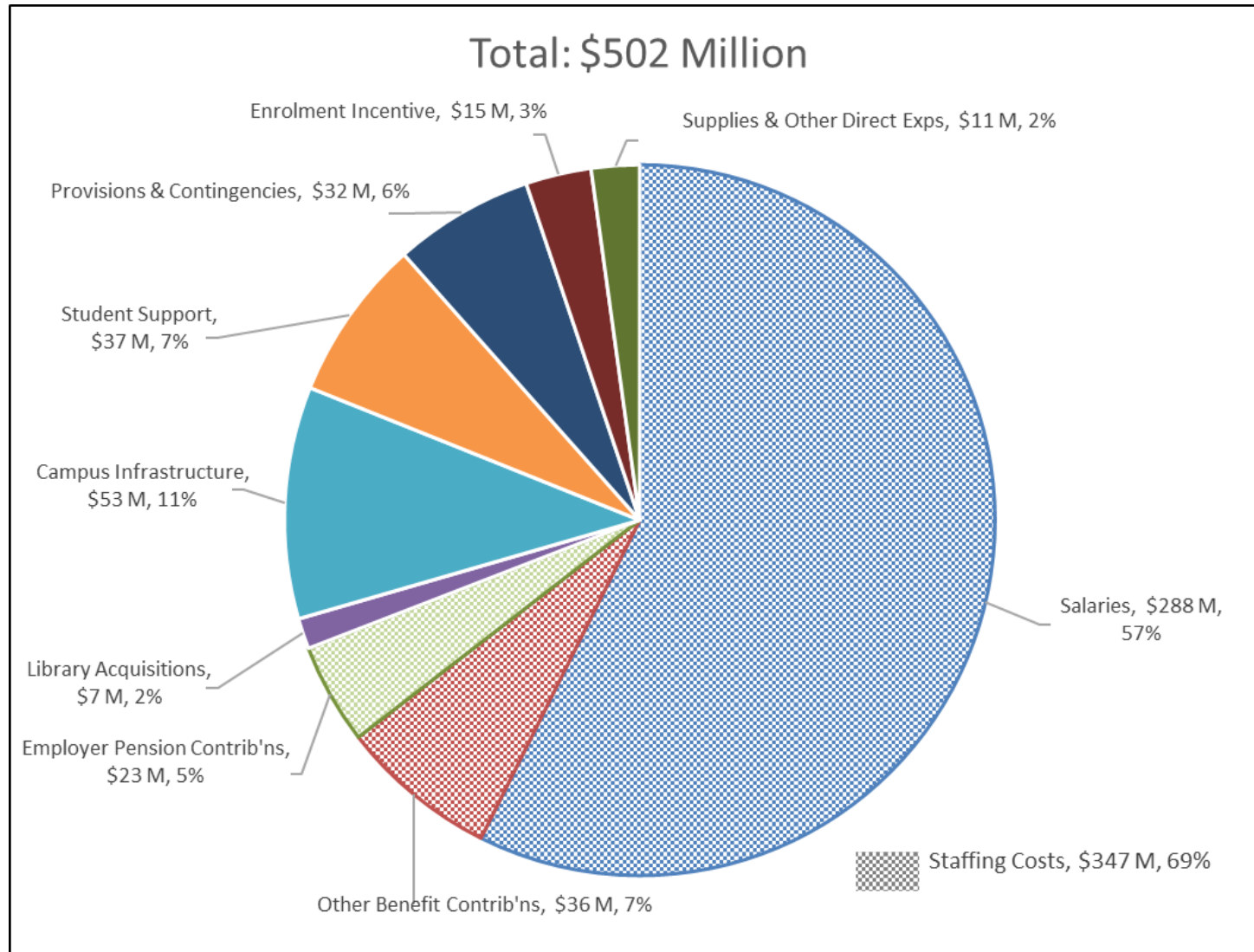
Year Over Year Revenue Changes

Tuition Revenue \$302M, + \$11M

- \$3M due to 2019-20 enrolment growth;
- \$8M from 2020-21 domestic enrolment growth and flow-through and international fee increases
- Targeting 1.1% growth for Undergraduate (new – 1% domestic, 2% international)
- Overall Growth (with flow-through): Undergraduate 0.4%, and Graduate flat growth
- International tuition fee increases of between 0-8%



Projected Expenses



Year Over Year Expense Changes

Total Expenditures \$502M, + \$13M

Changes between 2020-21 and 2019-20 opening budgets

Salaries and benefits	\$323M	+ \$ 9M
Pension benefit payment	\$ 22M	- \$ 8M
Operating costs	\$157M	+ \$ 12M

2020-21 Allocation Changes

Discretionary Allocations

\$ 33M

- Academic (Provost's RPC, Faculties, Library) \$ 13M
- Student Support and Enrolment \$ 4M
- Research and International \$ 2M
- Administration \$ 8M
(e.g. President's RPC: Communications, Equity and GR; Secretariat and Legal; Finance, HR, IT, Facilities, Security, Advancement)
- University Budget (annual recurring expenses) \$ 6M
(e.g. benefit increases, utilities, student support)

Discretionary Allocations

Academic (Provost's RPC, Faculties, Library) \$ 13M

- Enrolment Linked Budget Allocation (ELBA) \$7M
- Renovations and Lab fit-up \$1M
- Research \$1M
- Strategic Initiatives \$4M

Discretionary Allocations

Student Support and Enrolment

\$4M

- Enrolment Management
- Student Success
- Staff Positions

\$1M

\$2M

\$1M

Discretionary Allocations

Research

\$ 2M

- Research Clusters & Researcher Support
- Research Facilitation & Communication

\$1M

\$1M

Discretionary Allocations

Administration

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

\$ 8M

- President's RPC \$1M
(Communications, Equity and GR; Secretariat and Legal)
- Research IT Support \$3M
- Sustainability Improvements \$2M
- Project Management \$1M
- Staff Positions \$1M

Discretionary Allocations

University Budget (annual recurring expenses) \$6M

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

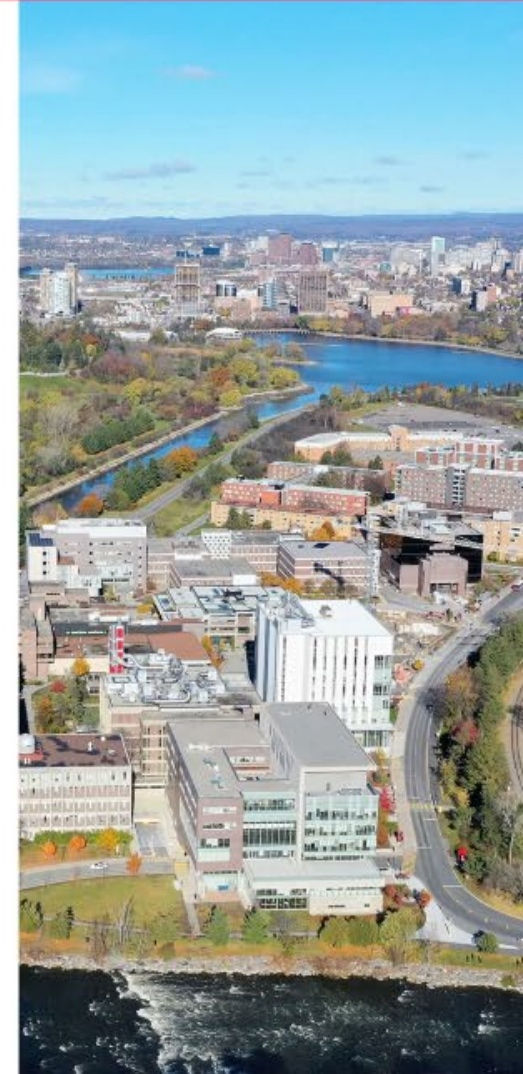
- Student support \$ 2M
- Classroom and facility upgrades \$ 6M
- IT software and maintenance \$ 1M
- Other (utilities, insurance, cleaning) \$ 1M
- Employee benefits \$ (4)M
(current service pension savings in 20-21 only)

Provisions and Contingencies

- Salary and Other General Contingencies \$17M
- Strategic Contingency \$10M
- Enrolment Incentive (ELBA) \$6M

COVID-19 Contingency Planning

- Carleton is currently assessing the impact the COVID-19 pandemic may have on our plans and budget
- Our most significant risk is fall enrolments not fully materializing
- A budget update is planned for the fall, 2020 when more information is available for decision making
- A briefing note on this matter has been circulated





Recommendation

Move to recommend to the Board, the approval of Carleton's 2020-21 Operating Budget, as presented. However, in light of the current public health crisis and associated fiscal uncertainties, the new discretionary allocations approved in the present budget are on hold until such time as more clarity is achieved. It is understood that lifting the hold will require a recommendation from the Finance committee for approval by the Board of Governors

AGENDA

ITEM 5.4

BOARD OF GOVERNORS REPORT

To:	Board of Governors	Date of Report:	3/31/2020
From:	Vice-President (Finance and Administration)	Date of Meeting:	4/30/2020
Subject:	2020/21 Student Association Fees		
Responsible Portfolio:	Vice-President (Finance and Administration)		

1.0 PURPOSE

☒ For Approval ☐ For Information ☐ For Discussion

2.0 MOTION

On the recommendation of the Finance Committee, the Board of Governors approves the 2020-2021 student association fees be approved, as presented.

3.0 EXECUTIVE SUMMARY

Student Associations charge fees for their activities. Charges are reviewed annually. Most of the fees presented for 2020-2021 are existing, which either remain unchanged, or have been increased subsequent to student referenda, or by the ancillary fee committee. There are two new fees pertaining to Undergraduate students. Both were successfully voted on through referendums conducted by OIRP. It is recommended that the proposed changes to the Student Association Fees for 2020-2021 be approved for implementation on September 1, 2020.

4.0 INPUT FROM OTHER SOURCES

Student associations and other university departments were consulted and where required referendums conducted. The consumer price index was obtained from Statistics Canada.

5.0 ANALYSIS AND STRATEGIC ALIGNMENT

Undergraduate Students' Association Fee

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

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

¹ Increase calculated by 1.9493% as indicated in letter from Canadian Federation of Students

The following changes, not related to CPI, are proposed for 2020-2021:

1. Annual increase of 2.5% in U-Pass, as per agreement between Carleton University and OC Transpo, and passed by referendum held by CUSA in 2012.
2. The Carleton Science Student Society introduced a new levy in order to better contribute to the strengthening of the science community through increased services, events and scholarships. A referendum was held on March 10th and 11th, 2020 and the new levy was passed.

Undergraduates of the Carleton Student Society were asked:

Do you support the introduction of a levy of \$5.50 a semester for full-time undergraduate students in the faculty of science (pro-rated for part-time undergraduate student & adjusted for inflation annually by CPI of Ottawa)?

The results were as follows: ²

Yes 468

No 299

Abstain 115

3. CUSA introduced a new levy fee during their elections for access to FundQi.ca annual service. A referendum was held on January 29th and 30th, 2020 and the new levy was passed.

Undergraduate students were asked:

Do you agree with the addition of a levy fee of \$9.99 per semester which will grant Carleton students the opportunity to access FundQi.ca annual service? This fee can be opted out upon inquiry.

The results were as follows: ³

Yes 3907

No 3232

Abstain 1671

Graduate Students' Association Fee

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

CKCU	Garden Spot
Sexual Assault Centre	The Leveller
OPIRG	CFS, CFS-Ontario
Foot Patrol	GSA Health & Dental ⁴
	Career and Placement

² The referendum was conducted by OIRP on behalf of the society. There was a total of 882 voters out of an eligible population of 5,035 or 17.5%. This referendum meets the minimum requirement for the participation rate of 15% required per Carleton's Ancillary Fee Referendum protocol.

³ The referendum was conducted by OIRP on behalf of CUSA. There was a total of 8,810 voters out of an eligible population of 28,157 or 31.3%. This referendum meets the minimum requirement for the participation rate of 15% required per Carleton's Ancillary Fee Referendum protocol.

⁴ Referendum approved in the 2017-2018 Student Association paper

The following change, not related to CPI, is proposed for 2020-2021:

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

Other Fees for CUSA and GSA

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

	Undergrad	Graduate
Athletics ⁵	\$102.30	\$92.10
Health & Counselling Services ⁶	\$34.41	\$34.41

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

	2020-2021 Fee (per term) ⁷
Undergraduate – Full time	
CSAAS Architecture Society (fall only)	\$15
CSAAS – Computer fee (fall only)	\$60
Commerce Society	\$22.50
Sprott (Commerce) Career Levy Fee	\$90
Engineering Society	\$19
CUESEF Engineering Society*	\$25
CIDSA Industrial Design Society (fall only)	\$15
CIDSA – Computer fee (fall only)	\$95
Graduate – Full time	
Sprott Career Levy	\$90
Sprott MBA	\$50
Sprott MAcc	\$50
Social Work	\$10

Please see additional proposed student association fee tables attached to this document.

6.0 FINANCIAL IMPLICATIONS

The financial implications for the student associations and related activities would be that many services would not exist without the funding generated from these fees. The funds are not from or related to any University budgets.

7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT

The student associations are separate legal entities, and, as such, the risk of declining revenues would not have a direct effect on the university. The associations are however tenants of the University and there is a risk that the revenue shortfall may encroach on their ability to afford the portion of the operating costs they are currently responsible for. In addition, fees and their approval are required to follow the Province's ancillary fee

* Compulsory fees with previously established opt-out procedures

⁵ Undergraduate fee increased by CPI. Beginning in 2019-20 graduate fee increased by CPI as passed by Ancillary Fee Committee at the March 19, 2019 meeting.

⁶ Increased by CPI, effective starting May 1st.

⁷ No increase from 2019-2020 fee.

guidelines. There is a potential risk that should fees get too high or excessive that it could impact the marketability of the institution and enrollment. The approval and review of the fees assists with mitigating this potential risk. In addition, while the student associations are separate legal entities, the university has entered into agreements with them requiring that the University be provided with their financial statements.

8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

Fee changes are routinely posted on the university web site, and are detailed in the registration process. As all Ontario universities must follow the same guidelines, the reputational impact for Carleton in particular should be minimal.

9.0 OVERALL RISK MANAGEMENT ANALYSIS

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

FULL-TIME UNDERGRADUATE		2019- 2020 Fee	PROPOSED INCREASE	INCREASE %	2020- 2021 Fee
- Per Academic Year					
Students' Association		\$45.72	\$0.91	2.00%	\$46.63
Academic Support Peer Tutoring	\$2.53	\$0.05	2.00%	\$2.58	
Health & Mental Wellness Initiatives	\$7.75	\$0.16	2.00%	\$7.91	
Sexual Violence prevention	\$3.25	\$0.07	2.00%	\$3.32	
Ombudsperson	\$ 3.76	\$0.08	2.00%	\$3.84	
Student Life & Success Programs	\$13.83	\$0.28	2.00%	\$14.11	
Student Opportunities & Spaces	\$14.60	\$0.29	2.00%	\$14.89	
CKCU Radio		\$14.61	\$0.29	2.00%	\$14.90
OPIRG		\$7.56	\$0.15	2.00%	\$7.71
Accessibility Fund		\$6.01	\$0.12	2.00%	\$6.13
Clubs and Societies		\$7.31	\$0.15	2.00%	\$7.46
Foot Patrol		\$2.65	\$0.05	2.00%	\$2.70
WUSC		\$2.53	\$0.05	2.00%	\$2.58
Interval House		\$0.60	\$0.01	2.00%	\$0.61
Sock n' Buskin		\$0.89	\$0.02	2.00%	\$0.91
Garden Spot		\$2.39	\$0.05	2.00%	\$2.44
Charlatan		\$5.89	\$0.12	2.00%	\$6.01
Carleton Legal Project		\$4.50	\$0.00	0.00%	\$4.50
Debating Society		\$1.00	\$0.00	0.00%	\$1.00
Canadian Federation of Students (National & Provincial) ⁸		\$17.12	\$0.33	1.95%	\$17.45
Carleton Engineers Without Borders		\$2.00	\$0.00	0.00%	\$2.00
CUSA Drug/Accident/Dental Ins. ⁹ *		\$206.97	\$11.48	5.55%	\$218.45
University Centre Fee		\$53.33	\$1.07	2.00%	\$54.40
Millennium Village Fee		\$6.00	\$0.00	0.00%	\$6.00
UPass Fee ¹⁰ *		\$425.42	\$10.64	2.50%	\$436.06
UPass Admin Fee *		\$4.43	\$0.09	2.00%	\$4.52
World Food Program		\$2.22	\$0.04	2.00%	\$2.26
CUSERT		\$2.74	\$0.05	2.00%	\$2.79
CUSA Bursary Fund		\$2.00	\$0.00	0.00%	\$2.00
Career and Placement		\$10.39	\$0.21	2.00%	\$10.60
Carleton Academic Student Government		\$1.20	\$0.02	2.00%	\$1.22
		\$835.47	\$25.86	3.10%	\$861.33

*Compulsory fees with previously established opt-out procedures

⁸ CFS and CFS-O increased by \$0.33 or 1.9493% as per letter received by CFS

⁹ Desjardins has yet to complete their claim history calculations for the past year, final fee will be confirmed after this calculation.

¹⁰ Annual increase of 2.5% as per agreement between Carleton University and OC Transpo, passed by referendum held by CUSA in 2012

20% of Full Time Fee¹¹

PART-TIME UNDERGRADUATE		2019- 2020 Fee	PROPOSED INCREASE	INCREASE %	2020- 2021 Fee
- Per Full Credit Course					
CKCU Radio		\$2.92	\$0.06	2.00%	\$2.98
OPIRG		\$1.51	\$0.03	2.00%	\$1.54
Accessibility Fund		\$1.20	\$0.02	2.00%	\$1.22
Clubs and Societies		\$1.46	\$0.03	2.00%	\$1.49
Foot Patrol		\$0.53	\$0.01	2.00%	\$0.54
WUSC		\$0.51	\$0.01	2.00%	\$0.52
Interval House		\$0.12	\$0.00	2.00%	\$0.12
Sock n' Buskin		\$0.18	\$0.00	2.00%	\$0.18
Garden Spot		\$0.48	\$0.01	2.00%	\$0.49
Carleton Legal Project		\$0.90	\$0.00	0.00%	\$0.90
Debating Society		\$0.20	\$0.00	0.00%	\$0.20
Canadian Federation of Students (National & Provincial) ¹²		\$3.42	\$0.07	1.95%	\$3.49
Millennium Village Fee		\$1.20	\$0.00	0.00%	\$1.20
World Food Program		\$0.44	\$0.01	2.00%	\$0.45
CUSA Bursary Fund		\$0.40	\$0.00	0.00%	\$0.40
Student Association Fee		\$9.14	\$0.18	2.00%	\$9.32
Academic Support Peer Tutoring	\$0.51		\$0.01	2.00%	\$0.52
Health & Mental Wellness Initiatives	\$1.55		\$0.03	2.00%	\$1.58
Ombudsperson	\$0.65		\$0.01	2.00%	\$0.66
Sexual Violence prevention	\$0.75		\$0.02	2.00%	\$0.77
Student Life & Success Programs	\$2.77		\$0.06	2.00%	\$2.83
Student Opportunities & Spaces	\$2.92		\$0.06	2.00%	\$2.98
Charlatan		\$1.18	\$0.02	2.00%	\$1.20
Carleton Academic Student Government		\$0.24	\$0.00	2.00%	\$0.24
Career & Placement		\$2.08	\$0.04	2.00%	\$2.12
CUSERT		\$0.55	\$0.01	2.00%	\$0.56
University Centre		\$10.67	\$0.21	2.00%	\$10.88
		\$39.33	\$0.73	1.86%	\$40.06

¹¹ 20% of full-time rate; excluded UPass, and Health & Dental

¹² CFS and CFS-O increased by \$0.07 or 1.9493% as per letter received by CFS

FULL-TIME GRADUATE		2019- 2020 Fee	PROPOSED INCREASE	INCREASE %	2020- 2021 Fee
- Per Term					
Graduate Students' Association		\$92.31	\$1.85	2.00%	\$94.16
Academic Support	\$7.00		\$0.14	2.00%	\$7.14
Career Services	\$6.00		\$0.12	2.00%	\$6.12
Health & Wellness Programming	\$7.40		\$0.15	2.00%	\$7.55
Ombuds Services Fee	\$1.86		\$0.04	2.00%	\$1.90
Unicentre Fee	\$12.28		\$0.25	2.00%	\$12.53
Community Engagement & Student Advocacy	\$17.64		\$0.35	2.00%	\$17.99
Grants, Scholarships, & Awards	\$33.63		\$0.67	2.00%	\$34.30
Support Centres	\$6.50		\$0.13	2.00%	\$6.63
GSA Capital Development Fund		\$3.00	\$0.00	0.00%	\$3.00
GSA Accessibility Fund		\$3.00	\$0.00	0.00%	\$3.00
GSA Sexual Assault Centre Fund		\$1.14	\$0.02	2.00%	\$1.16
Canadian Federation of Students ¹³		\$8.56	\$0.17	1.949%	\$8.73
OPIRG		\$3.71	\$0.07	2.00%	\$3.78
WUSC		\$0.60	\$0.00	0.00%	\$0.60
Foot Patrol		\$0.43	\$0.01	2.00%	\$0.44
Charlatan		\$1.97	\$0.04	2.00%	\$2.01
CKCU Radio		\$3.62	\$0.07	2.00%	\$3.69
Garden Spot		\$1.20	\$0.02	2.00%	\$1.22
The Leveller		\$1.76	\$0.04	2.00%	\$1.80
U-Pass *		\$212.71	\$5.32	2.50%	\$218.03
U-Pass Admin Fee (per year) *		\$4.43	\$0.09	2.00%	\$4.52
Career and Placement*		\$3.41	\$0.07	2.00%	\$3.48
GSA Health & Dental (per year) *		\$402.83	\$8.06	2.00%	\$410.89
		\$744.68	\$15.82	2.12%	\$760.50

PART-TIME GRADUATE

30% of full-time fee ¹⁴

- Per Term				
	\$37.41	\$0.71	1.89%	\$38.12

*Compulsory fees with previously established opt-out procedures

¹³ CFS increase by \$0.17 or 1.9493% as per letter received by CFS

¹⁴ Excluding UPass, GSA Health & Dental.

AGENDA

ITEM 5.5

BOARD OF GOVERNORS REPORT

To:	Board of Governors	Date of Report: 30/03/2020
From:	Vice-President (Finance and Administration)	Date of Meeting:
Subject:	Project Implementation Report – Engineering Student Design Centre (EDC) 4/30/2020	
Responsible	Vice-President (Finance and Administration)	
Portfolio:		

1.0 PURPOSE

☒ For Approval ☐ For Information ☐ For Discussion

2.0 MOTION

On the recommendation of the Finance and Building Program Committees, the Board of Governors approves the Engineering Student Design Centre Project Implementation Plan with a modified design and total project costs not to exceed \$16.9 million.

3.0 EXECUTIVE SUMMARY

The Engineering Student Design Centre (EDC) project was approved in January 2019, for a total project cost of \$11M. The project will provide the Faculty of Engineering and Design (FED) with the proper work space for capstone projects. The firm of Diamond and Schmitt has been retained to develop the project.

As part of budget 2020-21, FED has submitted plans to hire 80 new faculty employees in the next four (4) years. The new faculties and staff will need office and laboratory space for themselves and new graduate students who will be involved in the many research programs to be undertaken.

The EDC project provides a timely opportunity to partially address FED need for space. As required by the Capital Development Policy a Project Implementation Report is presented to the Building Program Committee to include an updated scope of work. Management also requests approval of additional funding of \$5.9M (revised total project cost of \$16.9M) to the Finance Committee.

4.0 INPUT FROM OTHER SOURCES

The Project Planning Report was prepared by Facilities Maintenance and Planning with information provided by the respective project manager, architects, engineers, users, and the construction manager hired by the University.

5.0 ANALYSIS AND STRATEGIC ALIGNMENT

One of the major factors that has contributed to Carleton's position as a leading engineering faculty in the Province and the Nation is our hands-on and experiential approach to teaching engineering curricula. Amongst a number of factors, this characteristic is best identified by the Group Design approach that was adopted, for the first time, some 30 years ago in our Aerospace Program for our 4th year capstone projects. Depending on the nature of a project, these Group Design projects can involve up to twenty-five 4th year students in a single project.

The main objective of these group design projects is to emulate a real world industry environment, e.g. a design/manufacturing entity in which a project is designed from scratch and built either as a final prototype, e.g., satellite project, or as a final product. Each project is run for the two fall and winter terms and is subjected to design reviews at the end of each term. Leading industry representatives are invited to these design reviews and critiques. These sessions are a tremendous opportunity for the industry to meet our students and find out their capabilities, often leading to job offers upon graduation of these students.

With respect to the required project scope increase, in the last eight months FED has been undergoing a holistic review of its current state of operations, as well as developing plans to address a variety of stresses that exist on

students, staff, and academics. This work has revealed is that the four engineering departments of FED are all significantly above the norms in terms of the ratio of the number of engineering undergraduate students to the number fulltime engineering faculty members. The new Engineering Design Centre will help alleviate the facilities constraint of the faculty.

6.0 FINANCIAL IMPLICATIONS

Based on the current level of design and the information within the Project Implementation Report, we expect that the project will be completed within the estimated project budget of \$16.9M. The project is carrying a reasonable contingency of \$1.24M.

7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT

The primary risks at this stage of the project relate to current COVID-19 work constraints. At this moment, there are no impacts to the construction schedule but the project team will be closely monitoring COVID-19 impacts on the project schedule. The construction schedule is currently planned for between July 2020 until July 2021. Covid-19 pandemic could cause delays in completion to the lack of labour and/or supply chain issues. Every effort will be made to work with the construction manager to mitigate these risks.

The financial risk was mitigated by a competitive cost verification process conducted by the Construction Manager for each major phase of the project. Site conditions risks have been mitigated by a rigorous geotechnical investigation along with geotechnical analysis. The university also mitigated its hazard and construction liability risk by providing an owner controlled course of construction insurance program. Another risk identified concerns meeting the construction schedule due to the constraints around foundation work and associated noise. This risk will be mitigated by conducting noisy activities during July and August months. Project is also carrying healthy 10% construction contingency.

8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

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

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"/>

PROJECT IMPLEMENTATION REPORT – March 31, 2020
PROJECT: STUDENT ENGINEERING DESIGN CENTRE (EDC)

I. Membership of Project Committee

The Project Committee is as follows:

- Assistant Vice-President Facilities Management and Planning (AVP FMP)
- Dean, Faculty of Engineering and Design (FED)
- Representatives from the Engineering Units
- A representative from Carleton Student Engineering Society (CSES)
- A representative from Faculty Advancement
- The Director, Planning, Design, and Construction, FMP
- Senior Project Manager, Planning, Design, and Construction, FMP

II. Terms of Reference

The joint venture of Diamond Schmitt Architects from Toronto and KWC Architects Inc. from Ottawa were competitively selected to refine the conceptual design and to develop the EDC design and construction documents, and Ellis Don was selected as the construction manager. A cost consultant, Turner and Townsend, had also been engaged to support the project team with cost estimates, value engineering, and cost control.

A request for site plan control (SPC) and a foundation permit (part of the building permit) have been submitted to the City of Ottawa. Final approvals were expected to be obtained at the end of January 2020, but have become part of the City's backlog, as well as needing to address a few of City of Ottawa's requirements. Mechanical, Electrical, Interiors, and Landscape applications for permits were in preparation, but have now been paused as a change of scope is being considered for budgetary and strategic reasons (discussed in detail in Project Overview).

Numerous studies and surveys (Geotechnical, Topographical, Environmental Site Assessment phase I, Noise study, CCTV survey of sanitary sewers) proved to be required and were completed in the fall of 2019.

III. Project Overview

The original scope of the EDC was to accommodate design studios for the capstone projects developed by students from various departments. The main objective of the EDC project was to provide a space to facilitate group design projects to emulate a real-world industry environment, e.g. a design/manufacturing entity in which a project is designed from scratch and built either as a final prototype, e.g., satellite project, or as a final product, e.g., Formula SAE Race Car.

This project was presented and approved by the Building Program Committee on March 6, 2019. A Project Planning Report was presented in November 2019. In that November presentation, there were no significant deviations in the overall project design or individual spaces with that had defined functionality, but that has now changed significantly.

Based on what was becoming a well-refined set of design development documents (the Design Development Report is attached in Appendix 1, the drawings and specifications are available in the project file), a Class C construction cost estimate was prepared by the Cost Consultant. Their report identified higher cost for the construction (20% above previous estimates), and well above the team's expectations. This unexpected high Class C estimate triggered a pause in design activities, and initiated a number of actions.

These actions included:

1. The project team requested that a competitive cost verification be conducted by the Construction Manager for comparison to the Cost Consultant's for each major construction discipline.
2. FED representatives revisited the needs assessment that defined the functional requirements of the EDC within the context of the 2020 strategic plans for the Faculty.

Several options were considered for reducing project costs. The most extreme of these options included reducing the size of the floorplates, but given the required structural design associated with Ottawa's earthquake risk in butting up to, but allowing independent movement from, an existing building had remarkably little difference on the total construction cost. Some risk on the budget were reduced by refining details on of furniture, equipment, ITS, and security cost.

With respect to the second point, for the last eight months FED has been undergoing a holistic review of its current state of operations, as well as the developing plans to address a variety of stresses that exist on students, staff, and academics. A key issue that this analysis has revealed is that the four engineering

departments are all significantly above the norms in terms of the ratio of the number of engineering undergraduate students to the number fulltime engineering faculty members.

The national norm for this metric is 22 to 1, while for Engineering at Carleton this number is approximately twice that amount (43 to 1). This issue has arisen due to significant growth in the undergraduate program (*i.e.*, 110% over last 12 years) to become one of the three largest English language engineering schools in Canada, while the academic complement has only grown by 30% over the same period.

FED has put its strategic needs plan into place through the FY2020-21 budget process, and will be hiring 80 new academic over the next four (4) years. These new academics will need space for office-like activities and laboratory space for their research programs, which will subsequently trigger the need for space for the new graduate students who will join these research programs. The space for all these activities will have to come from a variety of sources, which includes FED looking inward to more effectively use its own existing office and laboratory spaces (*i.e.*, establishing a Space Management Committee with an appropriate set of terms of reference), get space from other Resource Planning Groups in other buildings (working with the University's Space Management and Planning Committee), and the building of new space.

An analysis of what new space will be needed for office-like work for these new academics and their graduate students (*i.e.*, in addition to renovating existing space and space in other buildings) is approximately 850 square meters. Since this strategic need for space does not trump the long-suffering need for design studios for capstone projects, the joint venture of architects was tasked with using the pause in design to consider a change of scope to meet both needs in the same project. In revising the scope, it was also decided to include an overlooked, but important, feature needed for the functionality of the EDC. In this regard, the architects were also asked to propose a tastefully walled outdoor storage area for the large materials and prototypes associated with the capstone projects.

Therefore, this implementation report is stepping back from a project that only met one strategic need (*i.e.*, student capstone space) to a project that also meets a second strategic need (*i.e.*, new academic space). An Updated Feasibility Study Report towards this new scope has been completed (Appendix 2) along with a companion Cost Estimation Report (Appendix 3). Two design concepts were initially explored as part of this exercise, and included adding floors upward with the same floorplate or filling in an alcove created between the original EDC and one of the Mackenzie blocks (*i.e.*, expanding the floorplates). Adding floors created numerous and expensive challenges for Mackenzie, especially in

terms of snow accumulation that would require extensive structural changes to that block. Therefore, the attached feasibility and cost reports only considers the expanded floorplate design.

The design proposed in the feasibility study creates an additional 840 square meters of space, which increases the gross floor area by over 50% at an increased cost of under 50%. It maintains the previous functional spaces of 10 studio bays, four design rooms, and four breakout spaces, but adds the needed space for office-like activities, and two meeting rooms, as well as interior and exterior storage areas (overlooked in original feasibility study). It is important to note that the floorplans for the top floor shows 32 individual offices for faculty members, and is the most expensive option to base the cost estimates on. FED is currently exploring alternative work spaces for faculty that can house more people at a lower cost, and these ideas will be explored through the design development and detailed design phases.

IV. Resource Implications

Detailed project budget including current resource allocations is attached in Appendix 3. At the moment construction cost is estimated at \$11.9M (tax excl.), and the overall project cost including 10% construction contingency is estimated at \$16.9M (tax incl.).

V. Other Related Costs

Funding required to address collapsed storm piping and minor electrical/mechanical upgrades in ME building required to support the new building system will be added to the project budget from other funds (it is included in the current project estimates).

VI. Funding Sources

This project is funded by the Faculty of Engineering and Design carryover funds. FMP will add additional resources to address the “other costs” as indicated above. The majority of implementation funding will be spent over two fiscal years 20/21 and 21/22.

VII. Schedule

The updated project milestone schedule is presented in Appendix 4. In brief, the project is targeting to have the new facility fully operational in September 2021.

VIII. Table 1 (Total Project Cost Estimate (TPC) through the Development Cycle of the Project

ITEMS	Project Planning Report	Project Implementation Report	Tender	Project Complete
Construction Cost	\$7,755,750	\$12,366,206		
Site Development Fees (City)	\$44,233	\$71,405		
Construction Contingency	\$779,998	\$1,119,385		
Subtotal Construction (tax incl.)	\$8,579,981	\$13,556,996		
Professional Fees	\$1,009,907	\$1,663,369		
Communication/Security	\$103,410	\$296,000		
Soft Cost	\$1,164,056	\$1,259,259		
Subtotal Other (tax Incl.)	\$2,277,373	\$3,218,628		
Other Contingency	\$142,646	\$124,376		
Subtotal Other (tax incl.)	\$2,420,019	\$3,343,004		
Total Project Cost	\$11,000,000	\$16,900,000		

IX. Recommendations

To approve project implementation.

APPENDICES - all appendices can be found in the following Media Fire link

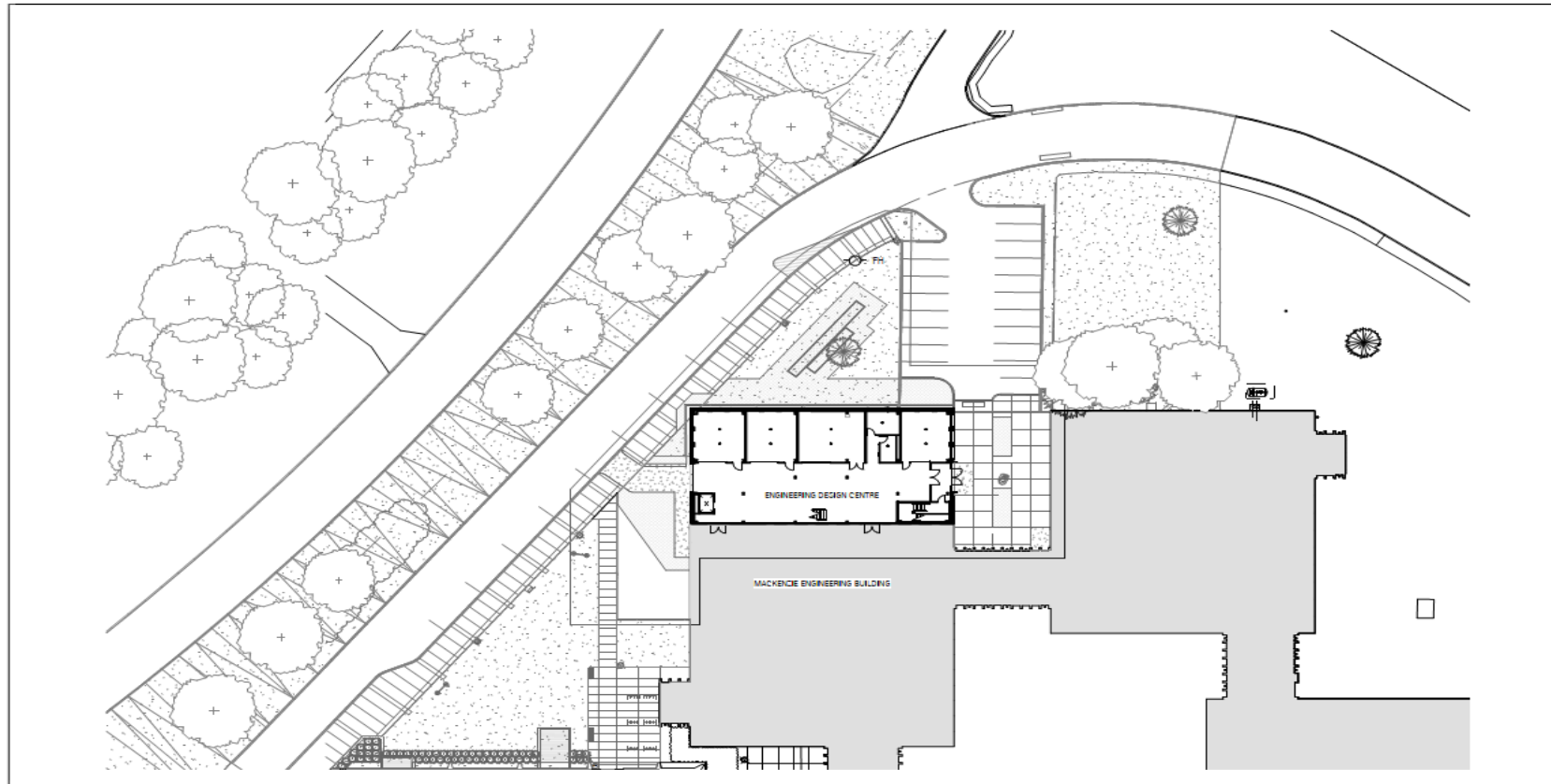
<http://www.mediafire.com/folder/4nwwfs3t6xtr2/109773> EDC Implementation Report March2020 Appendixes

1. Original Design Development Report (Nov 2019)
2. Updated Feasibility Study Report (March 2020)
3. Project Budget (March 2020)
4. Preliminary Milestone Schedule (March 2020)

Overview of Project



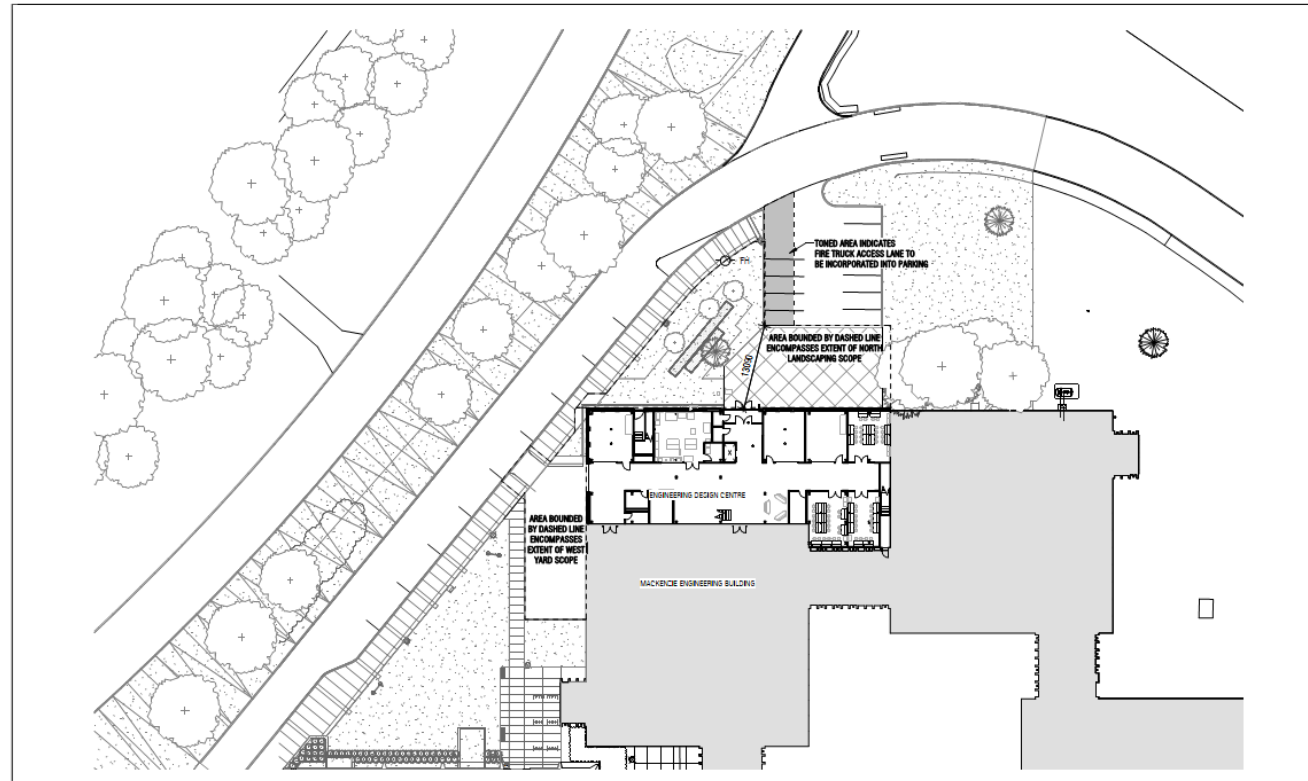
Original Scheme



Architects in Joint Venture for the Carleton University Engineering Design Centre
Diamond Schmitt Architects
KWC Architects Inc.

SITE PLAN
Carleton University Engineering Design Centre
ISSUED FOR 100% DESIGN DEVELOPMENT
P001
06/23/19 1:500

Increased Space



Architects in Joint Venture for the Carleton University Engineering Design Centre
Diamond Schmitt Architects
KWC Architects Inc.

SITE PLAN P001
Carleton University Engineering Design Centre
EDC EXPANSION FEASIBILITY STUDY
06/25/19 1:100

Additional Office Space



Same Atrium Space



Same Availability of Bays



Gathering Space Maintained



Updated Budget – Reflecting Revised Total Project Cost

- Additional Space is 8,500 ft2 for \$5.9M

ITEMS	Project Planning Report	Project Implementation Report
Construction Cost	\$7,755,750	\$12,366,206
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Total Project Cost	\$11,000,000	\$16,900,000

Updated Faculty Requirements

- Planning driven requirements
- Updated functional program requirements
- Objectives

Motion

- The Finance and Building Program Committees recommends that the Board of Governors approve the Engineering Student Design Centre Project Implementation Plan with a modified design and total project costs not to exceed \$16.9 million.

Questions?



AGENDA

ITEM 6.1

SIP Update – Second Draft

Board of Governors

April 30, 2020



Carleton
UNIVERSITY



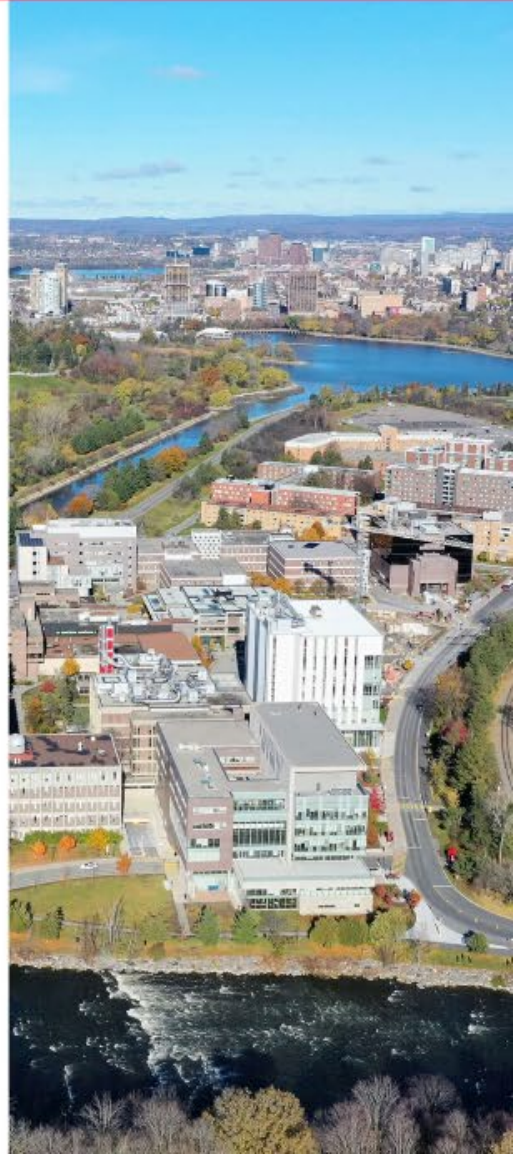
Update on Process

- Presented draft preview
 - Feb. 19: VPARC
 - Feb. 24: SIP Task Force
 - Feb. 28: Senate
 - March 3: Board Executive
- Published Draft 1 for community's feedback (March 5)
 - SIP Gallery cancelled; online feedback collection period extended from March 18 to April 6
 - Presented updates at Board (March 12) and Senate (March 27)
 - We remain on schedule for approval



Key Edits Following Initial Senate and Board Executive Review

- Rewrote the aspiration statement to be more inspiring and better reflect our mission
- Reordered bullet points in the pathways sections in some cases to be more balanced
- Added a pathway to reflect recruitment and retention in the section about preparing students for success in a changing future
- Added references to our alumni
- Expanded the pathways section under reconciliation to reflect the areas that CUSIIC's calls to action cover, and to add an additional pathway: "Deepen understanding of Indigenous worldviews throughout the Carleton community."



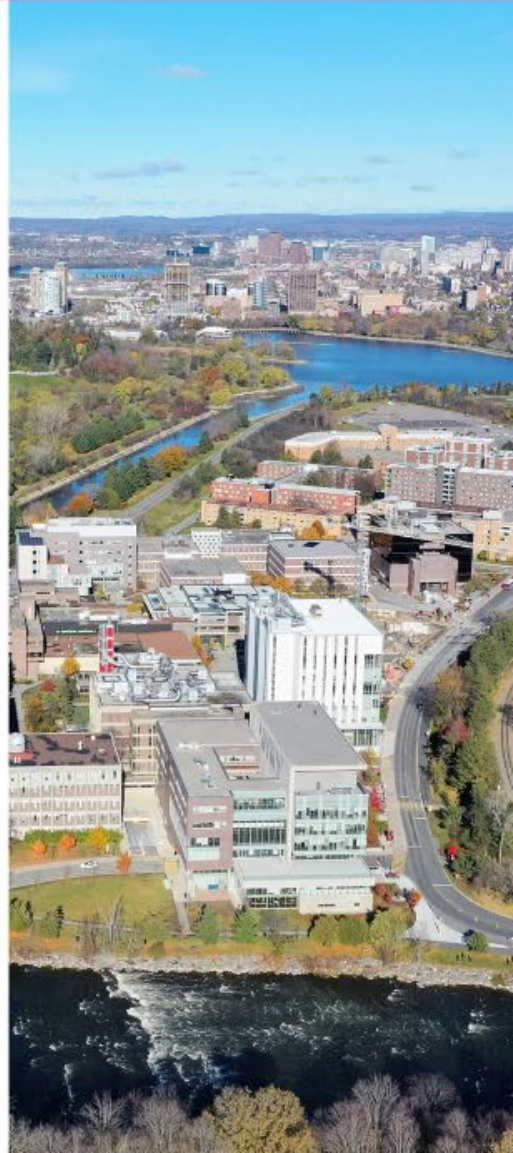
An aerial photograph of a city skyline, likely Ottawa, Canada, featuring a river and a bridge. The image is partially obscured by a large, semi-transparent red rectangular overlay that covers the middle portion of the frame. The text is centered within this red area.

Feedback from the Carleton Community

Conceptual, Structural and Procedural Feedback

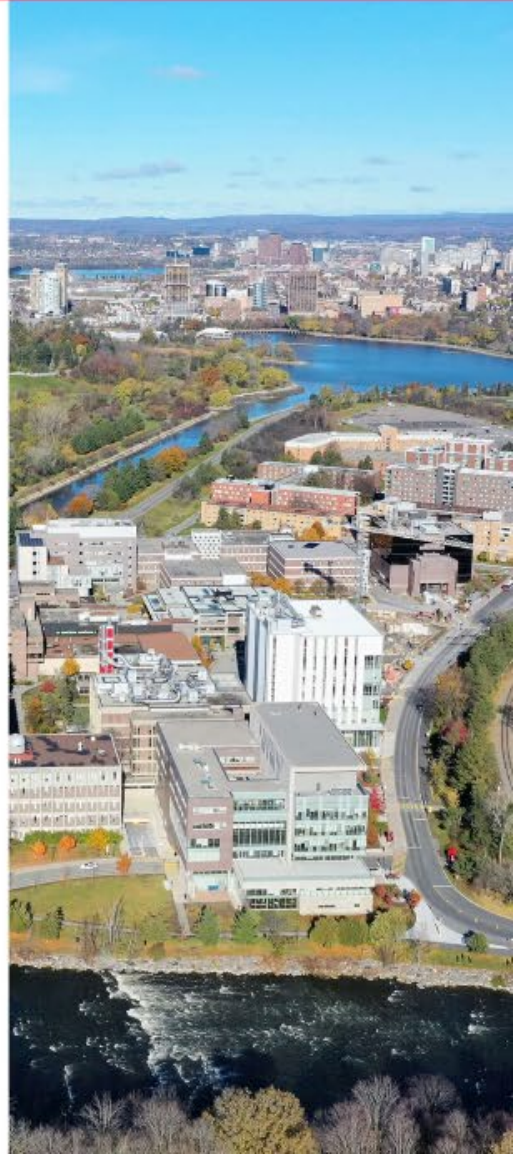
High-Level Conceptual Feedback

- Metaphors resonated with community
- The Canal metaphor is complex because of the history and construction
- The “Strive for Wellness. Strive for Sustainability” section resonated particularly strongly
- Positive comments on Carleton’s focus on wellness and well-being and the idea that learning is beyond a traditional classroom setting
- Positive comments about the inclusion of learning from and alongside Indigenous Peoples and serving Ottawa and the world



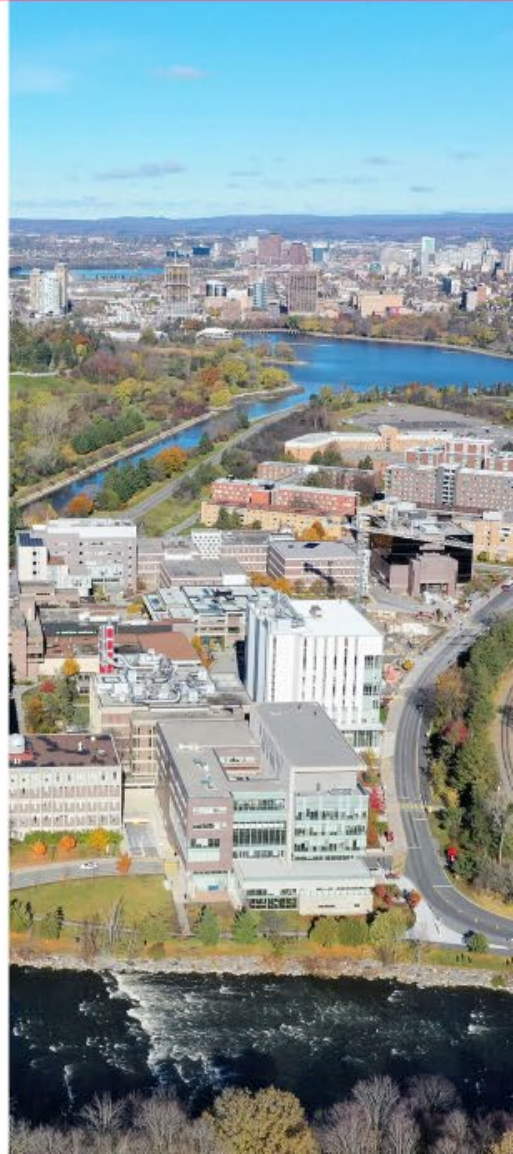
High-Level Structural Feedback

- Positive feedback on document structure
- Positive comments on aspiration statement and its inclusion of “we will” statements
- Positive comments on the references to important issues of our time and the inspiration readers draw from this
- Overall, the aspects of wellness, sustainability, community engagement and reconciliation resonated with the community
- Core mission was not as prominent as some expected



High-Level Procedural Feedback

- Pathways lack detail and some felt that they would like to see a full implementation section incorporated
- Specific recommendations, for example:
 - Emphasize learning in the pathway about student success
 - Incorporate language to emphasize EDI
 - Clarify that faculty members conduct research (not the institution itself)
 - Expand the idea of students as engaged citizens
 - Edit some sections slightly to recognize and respond to the ongoing COVID-19 crisis

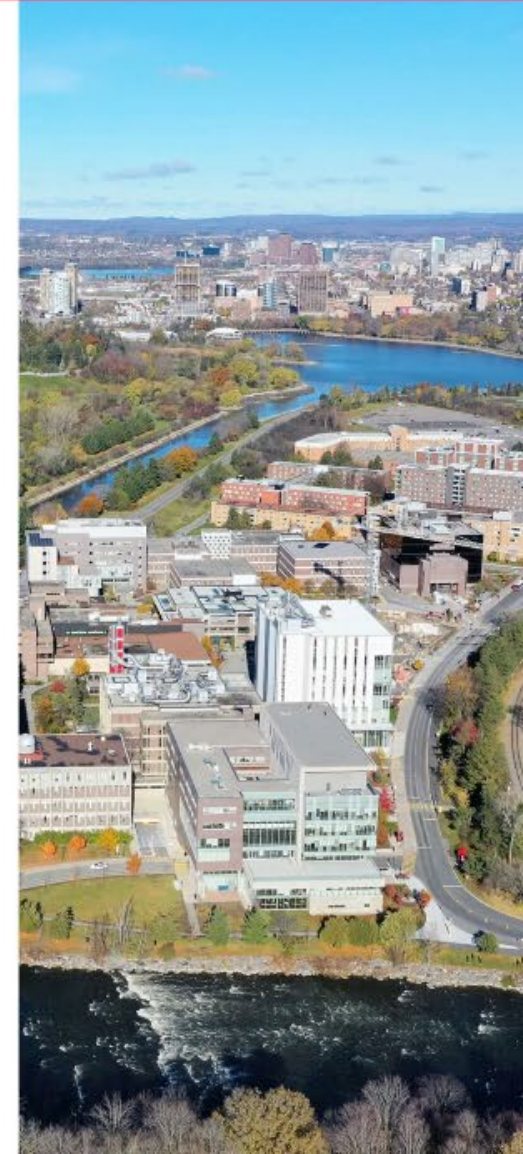
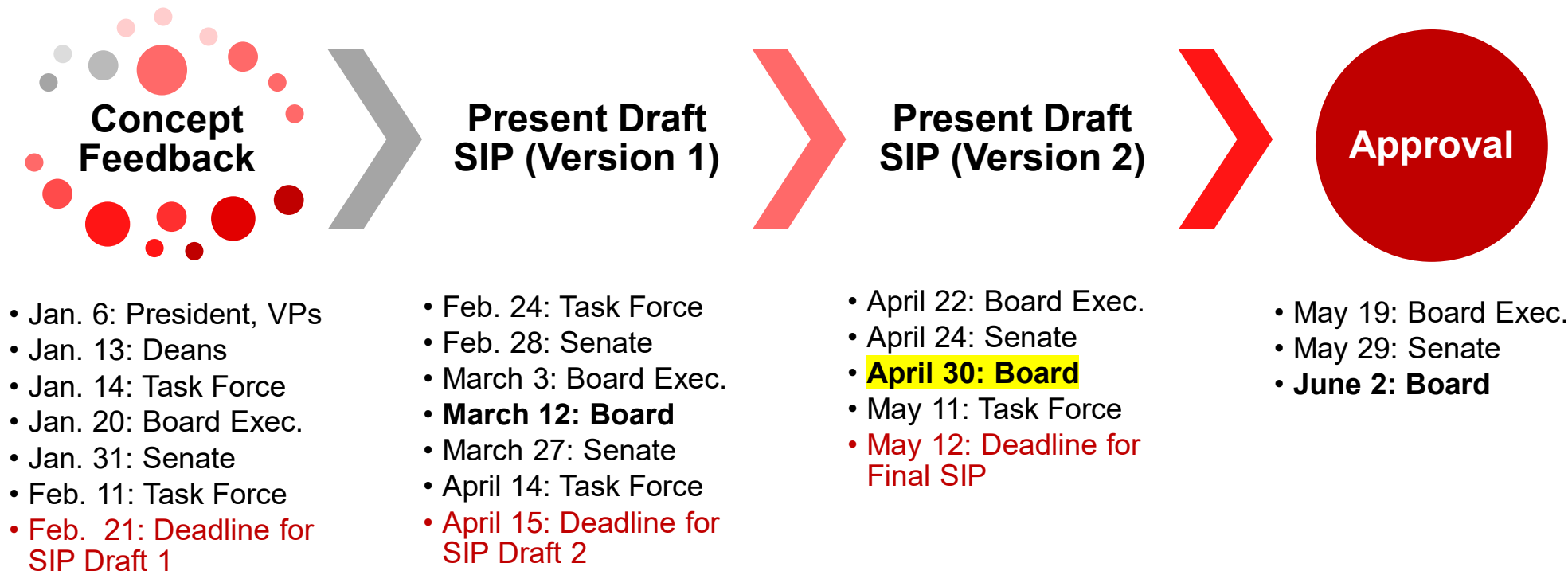


Key Edits Since Draft 1

- Edited the Point of Departure section to introduce Carleton's core mission earlier in the document
- Revised the description of the canal metaphor to clarify our recognition of the complex symbolism
- Clarified that the SIP is a high-level document to guide more detailed planning and measurement within Faculties, departments and administrative teams
- Strengthened the organizational excellence pathway
- Incorporated several smaller edits throughout the document to address feedback received



Next Steps



DRAFT

CARLETON UNIVERSITY STRATEGIC INTEGRATED PLAN

Version 2

DRAFT

[MESSAGE FROM THE PRESIDENT]

[TABLE OF CONTENTS]

OUR LOCATION ANCHORS OUR ASPIRATIONS

We are members of a diverse community, and many of us are guests in this territory. We acknowledge and respect the Algonquin Anishinaabeg people within whose unceded, unsundered territory the Carleton campus is located.

This acknowledgement is important to us. It is a reminder of the significance of this location, and it is our pledge for reconciliation with Indigenous Peoples.

This is a meeting place, a convergence of three major transportation routes: one built by human ingenuity, one created as an urban link, and one an historic waterway.

There is power in this convergence. It frames our values and our commitments. And it is the point from which we navigate to a bright and hopeful future.

Our journey continues from here.

On a map, our campus creates a unique triangle—a natural symbol of strength. This shape also reminds us of delta, the mathematical symbol for change.

This triangle is both Carleton's strength and delta, our mandate for change. It is a symbol of what we are and where we can go.

- The western edge follows the path of the iconic Rideau Canal—a hint at the ingenuity and innovation that helped establish this city and a waterway that tells a story of the creation, application and mobilization of knowledge.
- To our east, we border an important arterial road—an axis that creates our connection to the community, to this city's cultural heart and the country's political centre, and ultimately leading to the gateway to the world.
- To our south, we travel along the Pasapkedjinawong (Rideau) River— moving forward to a prosperous future with momentum and resilience, reminding us of our connection to the natural world.

The symbol frames everything we stand for at Carleton: the power of higher education and innovation, the value we place on community and collaboration, and the importance of sustainability and wellness.

From this foundation, we build our Strategic Integrated Plan together.

This document frames the values we will rely upon, the directions we will travel, and the pathways we will follow. It lays out the highest-level actions the Carleton community can take to meet the challenges of our time and the opportunities of the future. It is intended to guide more detailed planning and measurement within faculties, departments and administrative teams. Carleton's full and collective plans for the future will emerge from this.

THE POINT OF DEPARTURE

We are also at a time of convergence. This is a moment for opportunity—but also one of great urgency.

Globally, we grapple with public health issues, technological change and its implications for the future workforce, an accelerating climate crisis, worldwide migrations, and challenges to truth and democracy.

In Canada, we are confronted by political challenges, an aging population, a need for greater understanding and more diverse perspectives around accessibility and inclusion, and the difficult legacy of colonization. A national conversation about reconciliation has something to teach us all moving forward.

Closer to home, our province and our city are growing and changing. As a national capital and a major regional hub, Ottawa is a city that matters. New economic and cultural opportunities arise for some of its population, while health, ecological, infrastructure and other social challenges burden many more.

Alongside all of this change, the very nature of education is shifting. Students are eager for new instructional models, and the value of a post-secondary degree is under scrutiny as more accountability is demanded from public institutions.

In all of these matters, there has never been a greater need for knowledge exchange—creating it, mobilizing it, and sharing it with future generations. And perhaps there has never been a greater moment for Carleton University to take a bold step forward and be a more active participant in global change.

Carleton's roots as a non-denominational college, established by and for the citizens of Ottawa, make it unique among Canadian universities. At the end of the Second World War, the university was founded by a group of volunteers to educate and provide a way forward for returning veterans and others who had moved to Canada's capital as part of the war effort. From those earliest days, Carleton has maintained a strong community connection, and an enduring sense of purpose has driven our core mission: teaching and learning, research, student experience and organizational excellence.

More than 75 years later, Carleton has evolved into a research-intensive educational institution whose reach and impact goes far beyond the city limits. We continue to draw strength from our history and our location as we focus on our core mission and adapt to emerging opportunities and challenges.

Our story is a testament to hope for the future and a belief in the power of education for good. Now is the moment to reconnect with our values, to step up to the challenges of our time, and to fully embrace our potential.

OUR FOUNDATION

Within our campus borders, we find our foundation for the future.

The development of this plan was based on conversation and dialogue. Members of the university community—including faculty, contract instructors, librarians, staff, undergraduate and graduate students, alumni members and community partners—collectively shared their perspectives about Carleton’s values, strengths and aspirations.

Throughout more than 1,000 conversations, many ideas emerged. When asked about Carleton's values, the community identified several clear themes, revealing what is most admirable and what we most treasure about Carleton.



These principles—reflecting the voices and perspectives of Carleton’s people—will ground and inspire our strategic priorities.

ASPIRATION STATEMENT

Carleton University will leverage the power of higher education to be a force for good.

We will pursue, mobilize and share knowledge in a reciprocal and responsible way.

We will embed community engagement and partnership in our actions and culture.

We will work to enhance the wellness of our people and our communities, and to play a leadership role in the wellness of our country and planet.

DIRECTION: SHARE KNOWLEDGE. SHAPE THE FUTURE.

The Canal

On our western edge, the nearly 200-year old Rideau Canal is an engineering marvel and Ontario's only UNESCO World Heritage Site—a living example of connection, human ingenuity and perseverance. But its history and symbolism are complex. The difficult construction of the Canal is a reminder that the cost of progress is not borne equally by all people. Today, if we wish to see the Canal as a symbol of collaboration, resourcefulness and responsibility, we must recognize that innovation and effort can respond to real societal challenges, but only if both the burdens and the rewards of knowledge are shared.

Change and its human and policy implications—particularly in technology—is constant and ever accelerating. Around the world, we are witnessing a dramatic shift in the nature of social interaction and democracy, history and truth, the global economy and the changing nature of work, energy, transportation, health care and the future of telecommunications. At the local and national levels, technology is driving a renewal of our economy and with it, a surging demand for research and the workforce of the future.

Ingenuity will be a critical skill in the next decade; students and partners require their post-secondary institutions to play a tangible role in this evolution. While the ingenuity required to build the Canal changed this region and this country, its legacy reminds us to seek knowledge with responsibility and reciprocity. **In this moment, Carleton can draw on the Canal as inspiration to pursue knowledge that can change the world.**

This direction most closely aligns with our core mission: teaching and learning, research, student experience and organizational excellence. As we look to the future, we will enhance the ingenuity and potential of our students, staff, researchers and instructors. Our vision is to move forward together on the important, complex issues of our time. We will strengthen our capacity to create, apply, mobilize and share ideas with the world. We will empower people to share knowledge that will shape the future.

We will prepare students for success in an ever-changing future.

By investing in impactful opportunities for students to participate in research, work-integrated learning, skill development, knowledge exchange, and entrepreneurship, Carleton will advance the next generation's capacity to harness the power of knowledge and shape the ideas and careers of the future.

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Pathways

- Introduce and expand initiatives that further enhance student learning and success in the classroom
- Develop recruitment and retention strategies that meet the needs of changing student populations
- Improve students' graduation and employability outcomes
- Expand quality academic programming that responds to societal needs and questions

We will leverage the power of research to solve critical issues.

Carleton will invest in its people and processes to empower researchers at every level—undergraduate and graduate students, post-doctoral fellows, and faculty—to co-create and share meaningful knowledge that will inspire future discoveries. We will bridge the gap between academia and application, helping our community and partners to mobilize knowledge.

Pathways

- Support increased research funding and sponsorship
- Maximize impact of foundational and applied research
- Improve the dissemination of research through increased knowledge mobilization, publications and citations
- Enhance opportunities for national and international research collaborations

We will approach teaching and pedagogy with imagination and new expectations.

We must continue to adopt new pedagogical philosophies and technologies. Experiential learning, high-impact practices, and a greater appreciation for the value of teaching will ensure we meet the expectations of diverse and changing student populations, create positive learning and career outcomes, and respond to societal needs.

Pathways

- Enable and encourage pedagogical practices and curricular designs that foster student engagement, access, inclusion and success
- Promote and reward engagement, innovation and excellence in teaching and learning
- Offer new and flexible opportunities for student-centred learning
- Engage Indigenous knowledge to build new ways of teaching and learning

We will embed interdisciplinarity and collaboration in our culture.

Building on a culture of openness and cooperation, Carleton will continue to focus on ways to embed collaboration throughout the organization. We will encourage our

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community—students, faculty and professional staff—to engage with ideas across disciplines and boundaries to build stronger, more connected approaches.

Pathways

- Build additional opportunities for entrepreneurship and innovation and cultivate an entrepreneurial mindset across campus
- Expand collaboration and development opportunities for faculty, staff and students

We will model a culture of organizational excellence.

With a focus on organizational and collective leadership, we will be a leader in recognizing, excellence and innovation in terms of knowledge sharing, benchmarking, trends and best practices. Our community is strongest when we collaborate; we will work together to meet the university's strategic goals and tackle wicked challenges. We will encourage and recognize our community's capacity to innovate and excel. We will develop a culture of pride in our potential and our community.

Pathways

- Inspire collaborative leadership throughout our community
- Identify talent and encourage individual potential
- Create opportunities for innovation and knowledge sharing
- Develop sound and systematic approaches to service excellence, process and continuous improvement
- Ensure the strategic and sustainable use of resources

SHARE KNOWLEDGE. SHAPE THE FUTURE.

DIRECTION: SERVE OTTAWA. SERVE THE WORLD.

The Community

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

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

Local, national and international organizations are engaging institutions of higher education as partners in this transition. ***In this moment, Carleton can draw on the community to inspire and guide our commitment and responsibility to society.***

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

We will open our doors to the community.

Carleton will expand our reach, physical presence and interaction with local communities, ensuring our university, our facilities, our spaces and our people are recognized as a part of daily civic life and contributors to the social, cultural and economic goals of Ottawa and its population.

Pathways

- Engage with Indigenous communities through sustained relationships founded in mutual responsibility and accountability
- Grow partnerships and associations with alumni, community and not-for-profit organizations, industry and governments
- Expand service-learning opportunities for students, faculty, staff and community partners to work together
- Strengthen our physical and reputational presence within Ottawa

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We will encourage community engagement in research and learning.

Carleton will encourage its faculty, staff and students to be leaders in community engagement and service-oriented research, learning and other activities to create linkages between academic study and our roles as global citizens.

Pathways

- Expand community-based research and community-based pedagogy opportunities for the benefit of researchers, students, instructors and our communities
- Expand co-op, internships and other work-integrated learning opportunities for students

We will develop and foster partnerships with purpose.

Building on its founding mandate, Carleton will forge and foster purposeful and holistic partnerships with individuals, industry and organizations in Ottawa, Canada and around the world. These partnerships will allow collaboration on shared issues, create stronger opportunities for students and researchers, and bring our communities together for good.

Pathways

- Establish new holistic integrated partnerships with organizations that share our values and strategic objectives
- Innovate and lead collaborative approaches for broader societal impact and purpose

We will build bridges to the world.

With a comprehensive approach to global outreach, we will partner with international universities, communities, governments, industries and civil society organizations to make Carleton a global hub of intellectual engagement and knowledge exchange.

Pathways

- Build new connections between our domestic and international students, our alumni, our faculty and our partners
- Provide positive international experiences for student mobilization
- Expand international study opportunities in different disciplines
- Expand international research partnerships

We will embrace our role as a global institution in a G7 capital.

From our home in the nation's capital, and building on our expertise in policy, we will expand our dialogue with government officials, dignitaries and the diplomatic community.

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Pathways

- Attract talented visiting scholars who impact positive global change
- Expand our network of governmental and international partners

SERVE OTTAWA. SERVE THE WORLD.

DIRECTION: STRIVE FOR WELLNESS. STRIVE FOR SUSTAINABILITY.

The River

Flowing along our southern edge, the Rideau River gives Carleton its distinctive connection to the natural world. It is an active part of our campus: students, faculty and staff visit it for moments of reflection and peace. Its Algonquin name, Pasapedjinawong, or the river that passes between the rocks, evokes a path of resilience, momentum, and adaptation to overcome hardship. It is part of a vulnerable ecosystem, reminding us of the consequences of change and the need for constant stewardship. But its waters run resolutely forward, from the past to the future, connecting campus to something greater.

Sustainability is the wellness of the planet; wellness is the sustainability of individuals. Both are under pressure. We are facing public health issues and mounting urgency in mental health concerns, an accelerating climate crisis, and a pervasive need for greater understanding and commitments to accessibility, equity, diversity, and inclusion. We seek reconciliation with Indigenous Peoples. The values of resilience and strength—for people, for society, and for our planet—are more important than ever.

Increasingly, the world looks to post-secondary institutions to be leaders and models for positive change. ***In this moment, Carleton can draw on the River to inspire our resilience and responsibility to each other, ourselves, and our world.***

As we look to the future, we will explore how the well-being of people and the natural world can intersect. Though this will be an ever-present challenge, our vision is to chart paths of resilience, helping us all overcome obstacles and step toward a future with purpose. Together we will strive for wellness and sustainability—for individuals, for communities and for our planet.

We will strive to enhance personal wellness and health.

Carleton chooses a holistic, campus-wide approach to personal wellness and health for students, faculty, staff and the community. We will encourage a focus on mental health, purpose, activity, resilience and togetherness so that we and our communities may thrive.

Pathways

- Build and promote programming, infrastructure projects and spaces that embrace a commitment to social, physical, cultural and environmental wellness
- Increase openness, knowledge and capacity across campus to proactively support and empower the mental health, resilience and well-being of our communities

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We will be a national and international leader in sustainability.

Carleton is a leader in sustainability in many ways, but we have more work to do. We need to be more than conscious of our environment—as individuals, in our community partnerships, and through our research and operations, we need to steadfastly work towards solutions that ensure a sustainable future.

Pathways

- Deeply embed sustainable considerations into research, teaching, learning and organizational operations
- Learn from and alongside Indigenous Peoples as we deepen our understanding of the land and adapt to a changing environment
- Expand academic programming and knowledge exchange in the areas of wellness and sustainability
- Join global efforts to find solutions to climate change

We will learn and take action together to achieve reconciliation.

Carleton has a responsibility to the Algonquin Anishinaabeg people within whose unceded, unsurrendered territory our campus is located. We will develop relationships based on mutual respect, accountability and reciprocity with Indigenous communities.

Pathways

- Fulfill the Carleton-specific Calls to Action developed by the Carleton University Strategic Indigenous Initiatives Committee
- Deepen understanding of Indigenous worldviews throughout the Carleton community

We will strive to make our campus, country and our world accessible for all.

Over many years, Carleton has led the accessibility conversation across Canada's higher education sector. Carleton has an extensive history of making its campus, courses and culture increasingly accessible, and is committed to being the most accessible campus in Canada. Supported by several initiatives and programs across campus, and by its leadership in the national Canadian Accessibility Network partnership, Carleton will advance accessibility across research, training, employment, policy, and community engagement.

Pathways

- Provide national leadership on accessibility issues through strategic partnerships
- Embed a culture of accessibility in organizational excellence, programming and services

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We will foster individual distinctiveness and a sense of belonging.

Carleton's strength lies in its diversity—the diversity of its communities and in the perspectives it engages. We will continue to progress in equity and inclusivity across our organization and across the academic and research enterprises.

Pathways

- Encourage and nurture inclusivity and a diversity of perspectives and identities to strengthen our communities
- Strengthen employee recruitment, retention and advancement based on principles of inclusive excellence and our commitment to equity

STRIVE FOR WELLNESS. STRIVE FOR SUSTAINABILITY.

WHERE DO WE GO FROM HERE?

In this delta is Carleton's collective mandate for change. It invites us to begin a renewed conversation about Carleton, and to focus on what we can achieve together.

This Strategic Integrated Plan provides directions and destinations for us all. It aligns with existing campus-wide strategies, and can guide the next steps we can take as a community and as individuals.

Align your planning. We ask everyone to consider what strengths your work can draw from our location and its symbolic boundaries. Develop Faculty- and unit-specific plans and directions in alignment with this document to further operationalize the aspirations of our faculty, staff and students.

Step up to the challenges of our time. We are a university with a purpose. We ask you to bring that spirit into our organizational culture, your teaching and research, and your personal outlook. Respond to today and tomorrow's challenges with creativity and a willingness to experiment. We can be a force for good.

Tell our story. The story of Carleton belongs to all of us, and telling that story is a task we can share. Share Carleton's potential. Inspire yourself and others with what you have achieved. Celebrate successes. Teach each other.

Be strong and positive. We encourage you to be hopeful for the future, and believe in the power of higher education to work together for good.

Campus-Wide Strategies and Plans

A number of strategic documents already developed or in development support and operationalize the aspirations described in this Strategic Integrated Plan. Other strategies and plans will also emerge over time as the work of planning and implementing is never done.

- Academic Plan (currently under development)
- Campus Master Plan
- Canada Research Chairs Program Equity, Diversity, and Inclusion Action Plan
- Coordinated Accessibility Strategy
- Energy Master Plan
- Final Report of the Carleton University Strategic Indigenous Initiatives Committee (CUSIIC)
- Finance and Administration Strategy
- Fostering Student Academic Success Report
- Healthy Workplace Strategic Plan

DRAFT

- Internationalization Strategy (currently under development)
- Strategic Research Plan (currently under development)
- Sexual Violence Prevention and Response Strategy (currently under development)
- Strategic Mandate Agreement
- Student Employment Framework (currently under development)
- Student Mental Health Framework
- Students and Enrolment Strategic Plan
- Sustainability Strategy (currently under development)
- Teaching and Learning Framework (currently under development)

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