

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

**The 625<sup>th</sup> Meeting of the Board of Governors**  
**Thursday, April 29, 2021 at 3:00 p.m.**  
**Via teleconference**

**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 Board Award for Outstanding Community Achievement

- Executive summary was circulated in advance.

5.2 Operating Budget 2021/2022

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

5.3 Student Association and Miscellaneous Fees 2021/2022

- An executive summary was circulated in advance.

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

### 6.1 Carleton University Scenario Planning Working Group Update

- Presentation was circulated in advance.

### 6.2 Coordinated Accessibility Strategy Annual Report

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

### 6.3 Report from the Chair (D. Fortin)

- A verbal report will be given.

### 6.4 Report from the President (B.A. Bacon)

- A written report was circulated in advance.

### 6.5 Committee Chair Updates

- Verbal Reports:
  - a) Advancement and University Relations (P. Dion)
  - b) Building Program (B. Creary)
  - c) Finance (D. Alves)

## **7. OPEN – OTHER BUSINESS**

### 7.1 Tory Building Lab 130 Naming – Lacks Lab

- Memo was circulated in advance.

## **8. OPEN - QUESTION PERIOD**

## **9. END OF OPEN SESSION AND BRIEF NETWORKING BREAK**

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# **AGENDA ITEM**

## **5.1**

**COMMITTEE:** Board of Governors

**MEETING:** 625 – April 29, 2021

**ITEM:** 5.1 - Board of Governors  
Award for Outstanding  
Community Achievement

## **I. INFORMATION PRESENTED TO THE BOARD**

On March 19, 2021 the Board Award Jury met to review the nominations for the Board Award. This year, 13 nominations were received.

It was agreed by the Jury that this year's recipient of the award be Millicent (Millie) Close who will be graduating with a Bachelor of Health Sciences Honours with a Concentration in Disability and Chronic Illness, and a Minor in Communications and Media Studies at Spring convocation 2021.

As noted by the Jury, Millie's volunteer resume overwhelmingly evidenced her love of science and passion for philanthropy. Some of her volunteer roles included: President of the Carleton Science Student Society, multiple roles on the Ontario Science Students Association, a plethora of experience in the Science Student Success Centre and President of the Health Sciences Society.

In all of her volunteer endeavors, the Jury was impressed by Millie's clear and evident desire to empower Carleton Science students academically, socially and professionally. Consistently, she led with a helping hand and created an environment where students within the science community felt comfortable to engage with their fellow peers.

By the Carleton Decanal Team, Millie was described as a shining star. Her initiative and resourcefulness was demonstrated throughout the ongoing COVID-19 pandemic, where she strengthened the rapport between the Dean of Science's office and the undergraduate student body. Here, she ensured that student concerns were listened to and addressed. Additionally, throughout her time at Carleton, Millie worked as a peer mentor, and frequently met one-on-one with lower level science students.

Outside of the Science community, Millie was involved with the Carleton University Senate, where she served from 2018-2021. Additionally, the Jury was impressed by Millie's commitment to volunteerism not just within the Carleton community, but with external groups as well.

## **II. RECOMMENDATION**

On the recommendation of the Board Award Jury and the Advancement and University Relations Committee move to approve Millicent (Millie) Close as the recipient of the Board of Governors Award for Outstanding Community Achievement for 2020/21 academic year.

# **AGENDA ITEM**

**5.2**

## BOARD OF GOVERNORS REPORT

<b>To:</b>	Board of Governors	<b>Date of Report:</b>	31 March 2021
<b>From:</b>	Provost and Vice-President (Academic)	<b>Date of Meeting:</b>	29 April 2021
<b>Subject:</b>	<b>Proposed 2021-22 Operating Budget</b>		
<b>Responsible</b>	Provost and Vice-President (Academic)		
<b>Portfolio:</b>			

### 1.0 PURPOSE

For Approval    For Information    For Discussion

### 2.0 MOTION

On the recommendation of the Finance Committee, move to approve the Carleton University's 2021-22 Operating Budget, as presented.

### 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. 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 multi-year planning to ensure that this objective is achievable over the long term.

The COVID-19 pandemic is expected to have a lasting economic, psychological and social impact. For Carleton, this could translate into changes in the way we deliver on our academic mission and how we approach new challenges related to student recruitment. Enrolment patterns are expected to shift in both the short and long term to reflect increased demand for graduate programs in areas that respond to human adaptations in commerce, technology, and wellness and wellbeing. Research interest and funding is also expected to shift in addressing new post-pandemic issues. In the short-term, we are seeing more steady enrolment at the graduate level and a modest decrease in first-year undergraduate intake. At the time of writing, it remains unclear how much on-campus activity will be possible in the fall of 2021 at Carleton, along with all other Canadian post-secondary education institutions.

Carleton's operating budget projects total revenue and expenses of \$514.9 million for fiscal year 2021-22. This represents an increase of \$12.5 million from the \$502.4 million 2020-21 budget. The change is mainly attributable to international tuition fee increases ranging from 0% to 8% and flow-through of undergraduate international students. Domestic tuition fees for 2021-22 are planned to remain fixed at the 2019-20 level. These fees were reduced by 10% from those in 2018-19. The provincial government has yet to release an updated Tuition Fee Framework for post-secondary education institutions in Ontario.

The 2021-22 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 Strategic Integrated Planning Committee, Carleton's 2021-22 priorities are intended to support the directions of our Strategic Integrated Plan and continue to respond to the global public health crisis.

As the university works toward achieving these goals, we continue to emphasize and support initiatives that promise to increase and diversify external revenue sources and those that work to identify cost containment opportunities in the long term.

In consideration of the revenue constraints posed by enrolment projections and mix (a cautious scenario representing a 3% decline in first-year undergraduate intake from 2020-21 levels), the current tuition fee framework, Strategic Mandate Agreement, and increasing base expenditures, Resource Planning Committees (RPC) have been encouraged to use existing carry forward funds to support initiatives aimed at addressing our budget priorities. The aim to draw on unit-level reserves was reinforced through conservative budget allocations in 2021-22. This has resulted in a total of \$8.6 million in base funding invested through new faculty positions (\$0.1 million toward a new librarian position, \$1.7 million in replacement positions, and \$0.8 million in benefit costs), new continuing professional staff positions (\$1.5 million), improvements to Carleton's IT infrastructure (\$1.9 million), additional student support (\$1.5 million), inflationary costs (\$0.9 million) and other strategic initiatives (\$0.2 million). As part of Carleton's financial risk mitigation strategy, a one-time \$6.8 million "strategic set aside" has been recommended for investment in future initiatives and to address unexpected income shortfall over the planning horizon.

Carleton will continue to set aside a COVID-related contingency to allow for in-year investments that respond to operational impacts created by the public health crisis. Process changes, such as the centralization of the approval and renewal of faculty positions, continue to ensure that one of the university's most important strategic resources are deployed effectively.

#### **4.0 INPUT FROM OTHER SOURCES**

The operating budget consultation process involves many stakeholders from the Resources Planning Committees. 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 Planning Manager.

In March, RPC chairs presented their operating plan and request for resources to all chairs. The Provost's Budget Working Group (PBWG) then made decisions to allocate resources in a way that best support the university's operating priorities while maintaining a balanced budget.

Input is also received from the Office of the Deputy Provost, Financial Services, 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 operating budget projects total revenue and expenses of \$514.9 million for fiscal year 2021-22. This represents an increase of \$12.5 million from the \$502.4 million opening 2020-21 budget. The change is mainly attributable to international tuition fee increases ranging from 0% - 8%, and flow-through of undergraduate international students. Domestic tuition fees for 2021-22 are planned to be fixed at the 2019-20 level, which fees had then been reduced 10% from 2018-19. The provincial government has not yet released an updated Tuition Fee Framework for post-secondary institutions in Ontario.

Slightly less than 95% of operating revenue comes from tuition fees (24% international, 36% domestic) and government grants (34%). For expenditures, 71% comes from compensation (salaries and benefits). A further 11% relates to campus infrastructure and 8% to student support and enrolment growth.

Carleton's enrolment projections for 2021-22 represent a 3% reduction in first-year intake at both the domestic and international levels, with an overall 2% reduction in undergraduate FTE and 1% reduction in graduate FTE. This reduction is driven by a number of factors, most notably a rapid change in demand toward health and medical programs along with a predatory over-enrolment strategy from select Ontario universities. It is expected that this over enrolment pattern is unsustainable in the medium to long term as Faculty union

collective agreements and available physical space will constrain this strategy. As a result, Carleton anticipates a return to moderate, steady enrolment growth aligned with demographic growth trends in subsequent years.

\$19.6 million in base and \$37 million in fiscal are being recommended for allocation. This level of resourcing has been made available through a base budget surplus planned for in 2020-21. That, coupled with a projected \$12.5 million increase in revenue and savings realized through the implementation of faculty position approval controls.

	<b>Base</b>	<b>Fiscal</b>
Resource Planning committees	\$3.2 million	\$16.6 million
University budgets	\$5.4 million	\$11.7 million
Contingency	\$11.0 million	\$8.7 million
<b>Total</b>	<b>\$19.6 million</b>	<b>\$37 million</b>

All requests for funding from Resource Planning Committees were required to demonstrate connection to the budget priorities of the current cycle.

	<b>Base</b>	<b>Fiscal</b>
Share Knowledge, Shape the Future	\$2.2 million	\$9.8 million
Serve Ottawa, Serve the World	\$0.6 million	\$1.7 million
Strive for Wellness, Strive for Sustainability	\$0.4 million	\$4.5 million
Responding to the public health crisis	\$ -	\$0.6 million
<b>Total</b>	<b>3.2 million</b>	<b>\$16.6 million</b>

These represent investments in: reputation and branding; recruitment; the Kinàmàgawin Indigenous Strategy; Equity, Diversity and Inclusion; Carleton University Bright Outlook committee initiatives; student success, high impact pedagogy, teaching and learning; improving faculty to student ratios; health and counselling services; community engagement; improvements to IT infrastructure, campus operations and maintenance; and the Research, Education, Accessibility and Design (READ) initiative / Canadian Accessibility Network.

Increases to university budgets, or earmarked activities or initiatives on campus, are driven primarily by changes accelerated by the public health crisis. \$5.8 million in additional student support has been allocated to attract additional international students to Carleton and improve the delivery of our undergraduate programs; \$2.2 million to improve cleaning on campus; and \$1.9 million to permanently fund new software and licenses, and license fee increases. The remainder relates to an increase in benefit costs which is, primarily, in direct response to on-going plans by the Faculty of Engineering and Design to increase its faculty compliment using existing funding provide through the Enrolment-Linked Budget Allocation mechanism.

Base increase in contingencies relate primarily to salary increases (\$5.4 million) and debt servicing costs (\$3.5 million in 2021-22, \$5.6 million thereafter). Currently, Carleton's Pension Plan is funded on a going concern basis and exceeds the legislated solvency ratio. Additionally, Carleton maintains a \$69 million pension liability reserve. These factors have provided the university the ability to redirect \$6.8 million in pension reserve contributions as an operational strategic set-aside to invest in future initiatives, to address unexpected income shortfalls over the planning horizon, or contribute back into the pension reserve in future years.

## **6.0 FINANCIAL IMPLICATIONS**

The 2021-22 operating budget has been prepared in the context of continuing revenue pressures caused by: i) an over-enrolment strategy from select Ontario universities; ii) changes in student enrolment patterns accelerated by the current pandemic; iii) capped government grant funding on enrolment growth, iv) continued frozen domestic tuition fees at the 2019-20 level (which included a 10% fee reduction), and v) SMA3 framework that will put more enrolment grant funding at risk.

In addition, operating expenses continue to increase at a rate of between 2-4% per year over the planning horizon. These factors have resulted in the 2021-22 base operating surplus available to fund discretionary expenditures being lower than in previous years. Current projections indicate Carleton’s base surplus may continue to decline in the coming years. In 2021-22, the university will continue to fund operating cost increases, support operating priorities, and set-aside general contingencies to address the short-term effects of the COVID-19 disruption. The capacity to do so has been, in part, due to the base budget cuts applied in 2019-20 and 2020-21.

## 7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT

The preparation and implementation of the operating budget involves the use of projections and estimates that increase the level of overall risk of not achieving the desired results. For example, a 1% 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 corporate requirements, the university must have a budget approved before the start of a new fiscal year. The budget must also comply with the Board of Governors’ 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 enrolment and therefore revenue represent a significant financial risk to the university’s operating budget. In order to mitigate the risk, various financial planning scenarios have been assessed and appropriate contingencies made available to absorb unexpected events.

## 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
LEGAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OPERATIONAL	<input type="checkbox"/>	<input type="checkbox"/>	<input 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

# 2021-22 Operating Budget

Finance Committee

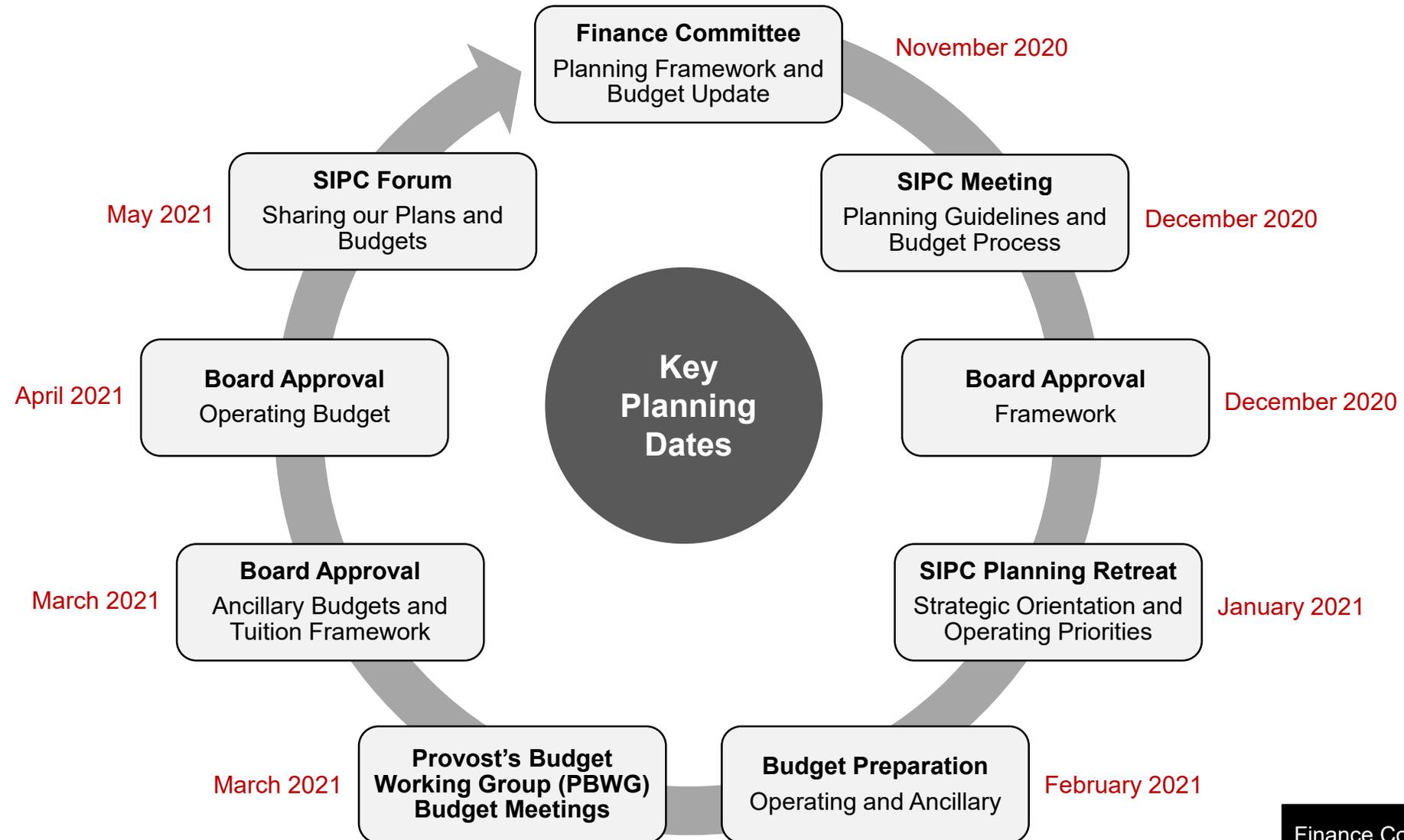
April 13, 2021



**Carleton**  
UNIVERSITY



# Key Planning Dates



# Planning Principles

- Enhancing our Academic Mission
- Achieving our SIP goals
- Achieving SMA-3 performance targets
- Transparency and clarity
- Financial stability and sustainability
- Financial flexibility to respond to pandemic-related events
- Revenue generation and diversification



# 2021-22 Operating Priorities

1. Share Knowledge, Shape the Future;
2. Serve Ottawa, Serve the World;
3. Strive for Wellness, Strive for Sustainability; and
4. Responding to the Public Health Crisis.

## **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 planning and budget proposals, outlining:
  - Plans and priorities for the coming year;
  - Usage of carry forward funds over a three-year period;
  - Requests for additional resources, referring to institutional priorities and distinguishing between base and fiscal requests.
- PBWG reviewed plans and requests against institutional priorities and considered feedback received during presentations from all RPC chairs before making recommendations for 2021-22 resource allocations.



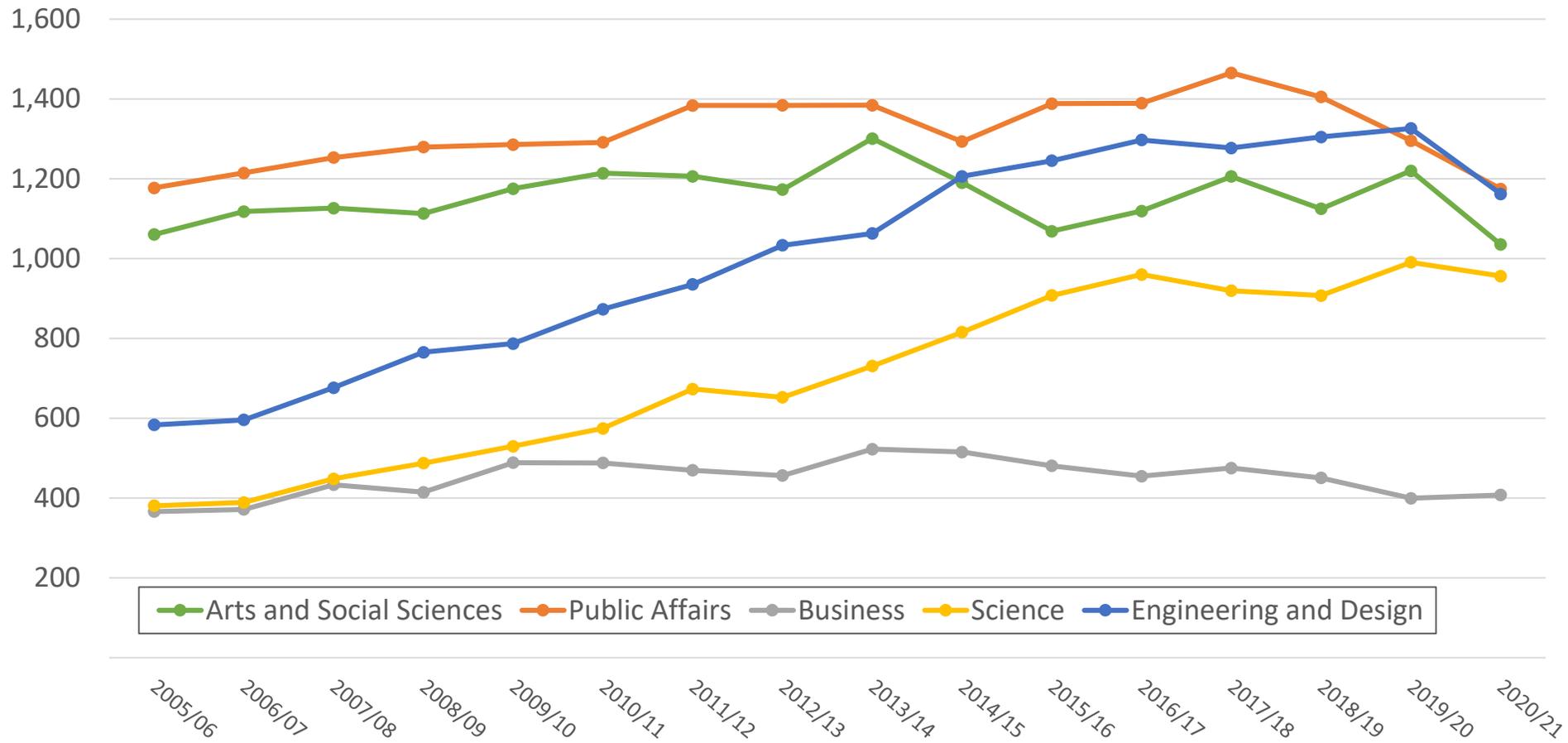
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# 2021-22 Scenario Planning

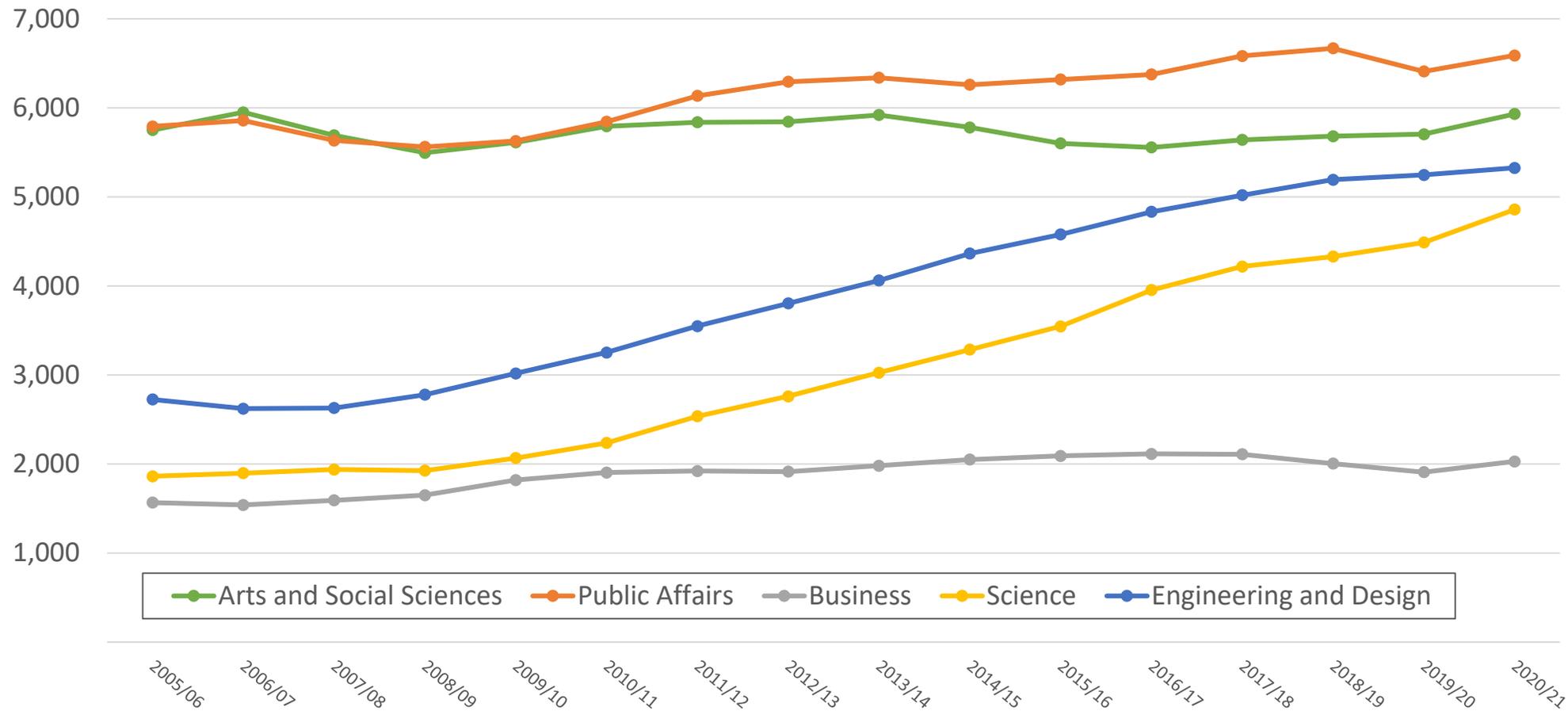
# Environmental Scan

- Provincial government deficit
  - Current Ontario outlook: \$38.5 billion in 2020-21, \$33.1 billion in 2021-22 and further, multi-billion dollar deficits in 2022-23 and 2023-24.
- Family/Student government support
- OSAP and Tuition Fee Framework
- Corridor funding model
- Performance-based provincial funding (SMA3) – currently on-hold
- COVID related constraints, including international travel restrictions

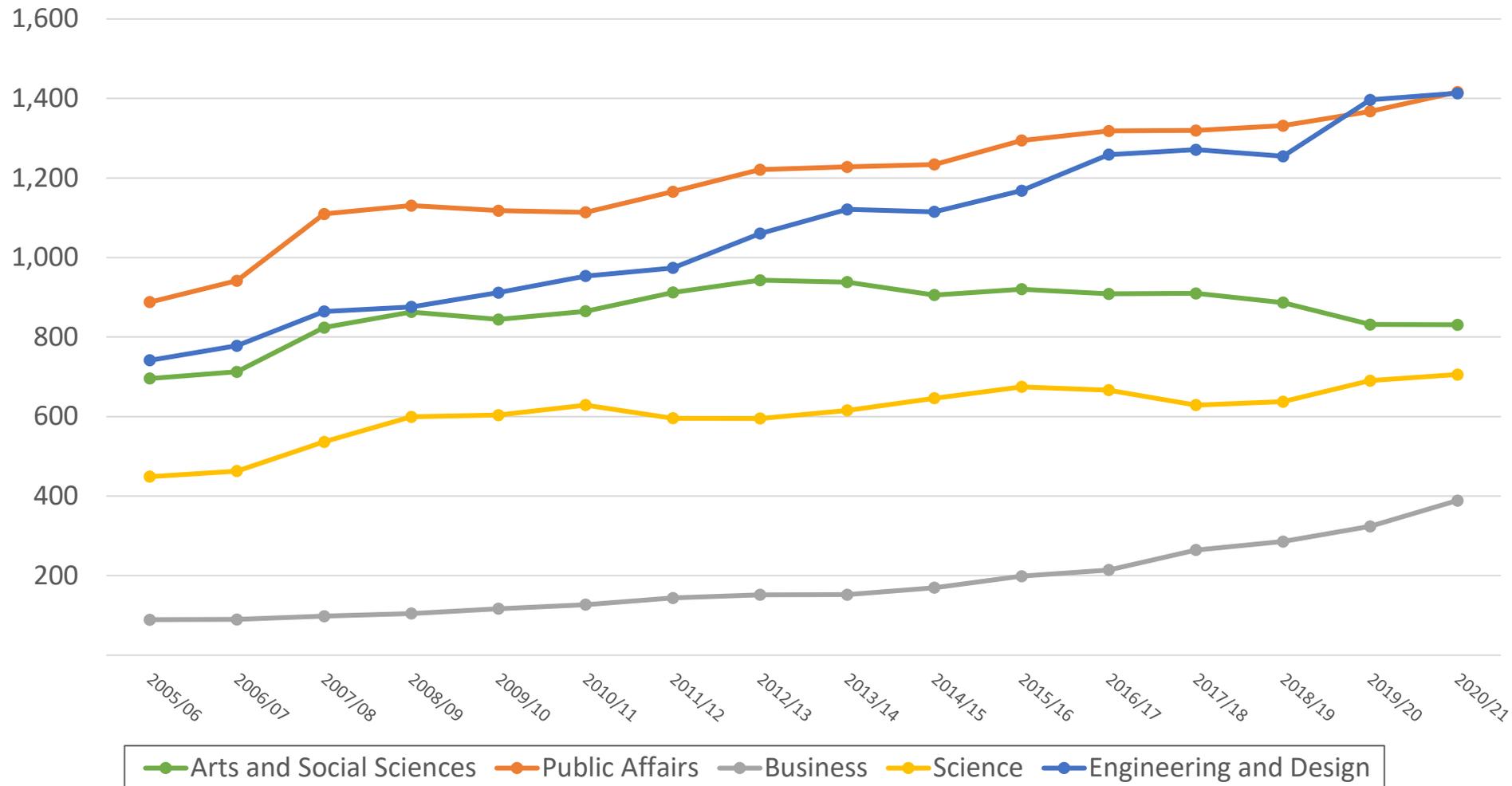
# New First Year Undergraduate by Faculty



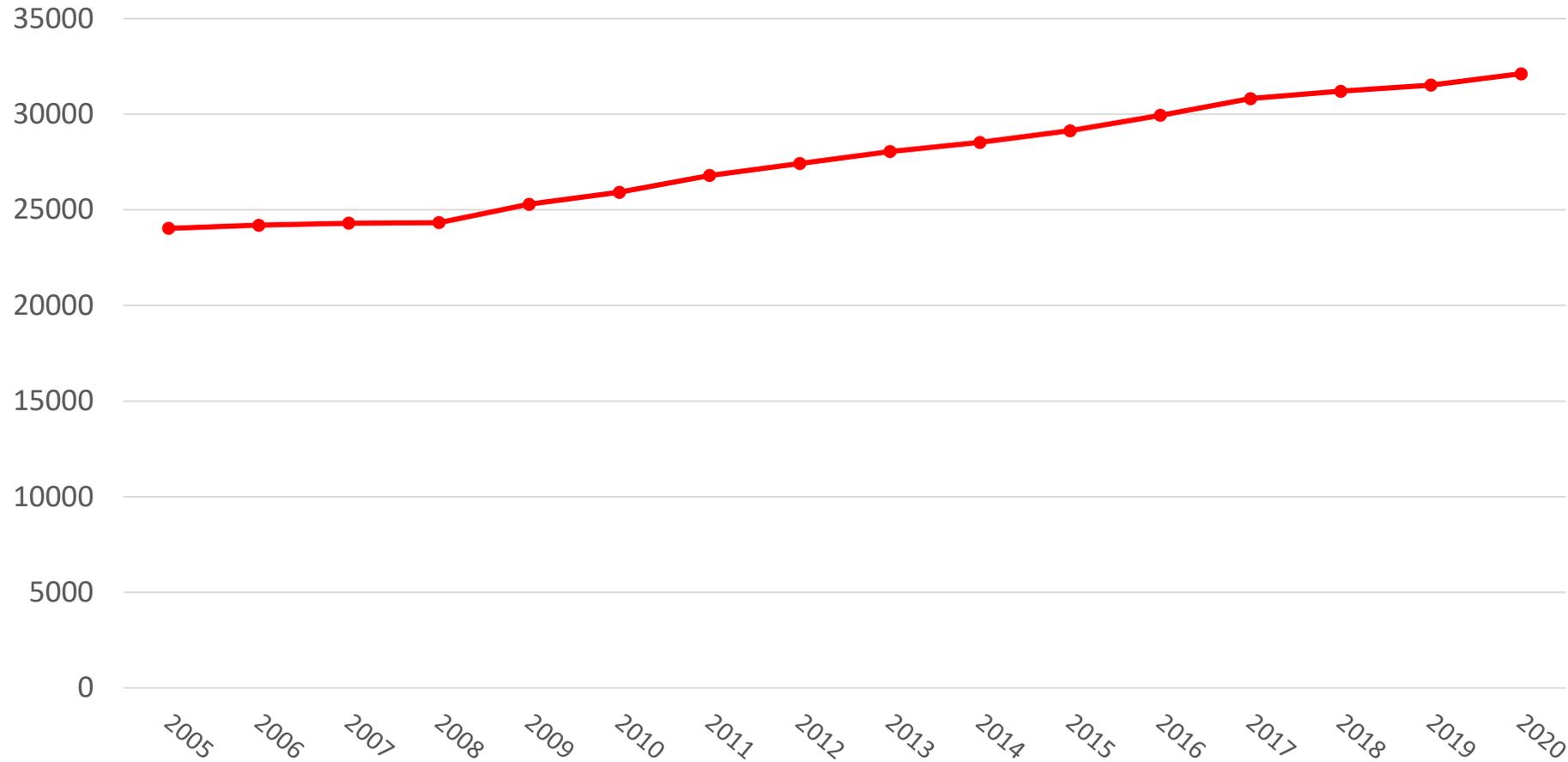
# Undergraduate Enrolment Growth by Faculty



# Graduate Enrolment Growth by Faculty



# Total Enrolment Growth



## Most recent count

Total: 32,116  
Undergrad: 27,829  
Graduate: 4,287

# Applicants/Targets – Fall 2021

## First Year 101 (Ontario High School) Applications by University

	2020	2021	% +/-
<b>Carleton Total Applications</b>	20,248	19,150	-5.4
<b>Carleton Applicants</b>	14,828	14,131	-4.7
<b>System Total Applications</b>	466,982	477,563	2.3

## Conversion Rates: 2020

Ottawa: 40%  
 Other ON: 17%  
 Other: 9%

## First year, New, Applicants (Carleton Data) by region – 101 Applicants

	2020	2021	% +/-
<b>All</b>	14,862	14,179	-4.6
<b>Ottawa</b>	4,774	5,024	5.2
<b>Other Ontario</b>	9,743	8,725	-10.4
<b>Other</b>	345	430	24.6

## First year, New, Approvals (Carleton Data) by region – 101 Applicants

	2020	2021	% +/-
<b>All</b>	9,670	10,258	6.1
<b>Ottawa</b>	3,243	3,693	13.9
<b>Other Ontario</b>	6,331	6,465	2.1
<b>Other</b>	96	100	4.2

# Budget Scenario Planning

**Optimistic:** 2021-22 intake is the same or better than 2020-21 intake levels. Demographic enrolment growth returns in subsequent years.

**Cautious:** Moderate 3% intake decline (undergraduate domestic and international) in 2021-22 from 2020-21 level. Demographic enrolment growth returns in subsequent years.

**Pessimistic:** 5% intake decline (undergraduate domestic and international) in 2021-22 from 2020-21 level. Demographic enrolment growth returns in subsequent years.



# Budget Assumption for 2021-22: Cautious Scenario

- Factors in selecting a cautious tuition and enrolment scenario:
  - 2021-22 undergraduate application decline. Population growth, in conjunction with corridor model, suggest return to moderate, steady growth beyond 2021-22
  - Domestic Tuition Fee Framework: planning for frozen fees
  - Current provincial deficits may result in corridor model continuing for foreseeable future
  - COVID impact on international enrolment to rebound in short-term



# Financial Risk Mitigation Strategy

- 5-year financial forecast: conservative “base budget” allocations
- Encourage RPCs to use existing carry forward, reinforced through conservative budget allocations
- Fiscal funding supporting new positions provided only upon hire
- \$6.8 million strategic set aside
- Pandemic contingency fund



The background image shows a modern, multi-story building with a prominent tower section at the top. In the middle ground, a train is crossing a bridge over a body of water. The foreground is filled with tall, golden-brown reeds. A large, semi-transparent red banner is overlaid across the middle of the image, containing the text.

# 2021-22 Operating Budget

# 2021-22 Budget Summary

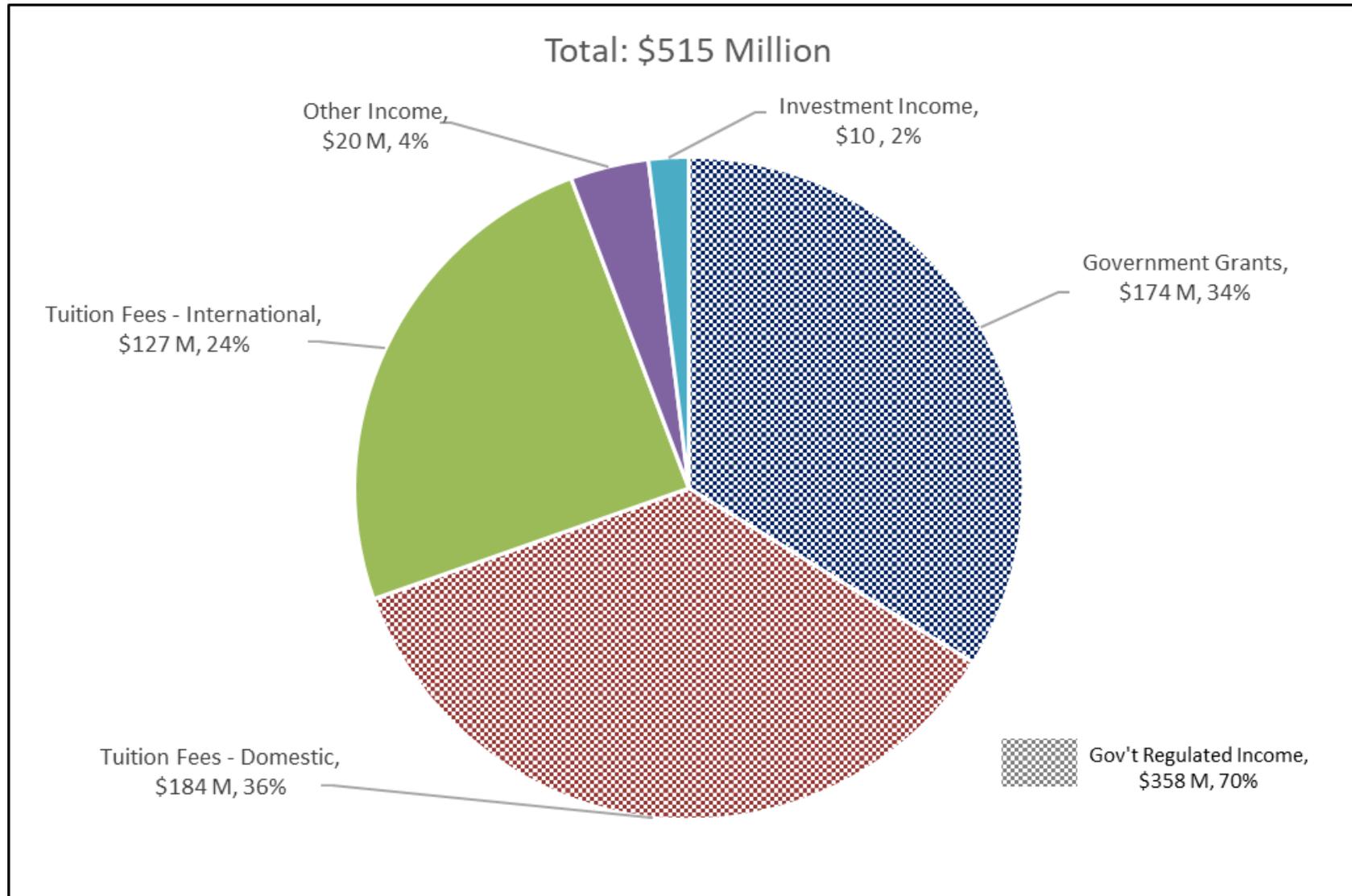
\$Million	2020-2021 Budget	2020-2021 Projected Results*	2021-2022 Proposed Budget	Variance to 2020-2021 Budget
Government Grant	172	180	174	2
Tuition Fees	302	310	311	9
Investment Income	8	8	10	2
Other Income	20	17	20	-
<b>Total Revenue</b>	<b>502</b>	<b>515</b>	<b>515</b>	<b>13</b>
<b>Total Expenses</b>	<b>502</b>	<b>510</b>	<b>515</b>	<b>13</b>
<b>Operating Results</b>	<b>-</b>	<b>5</b>	<b>-</b>	<b>-</b>

Notes 2021-2022 Budget vs. 2020-2021 Budget:

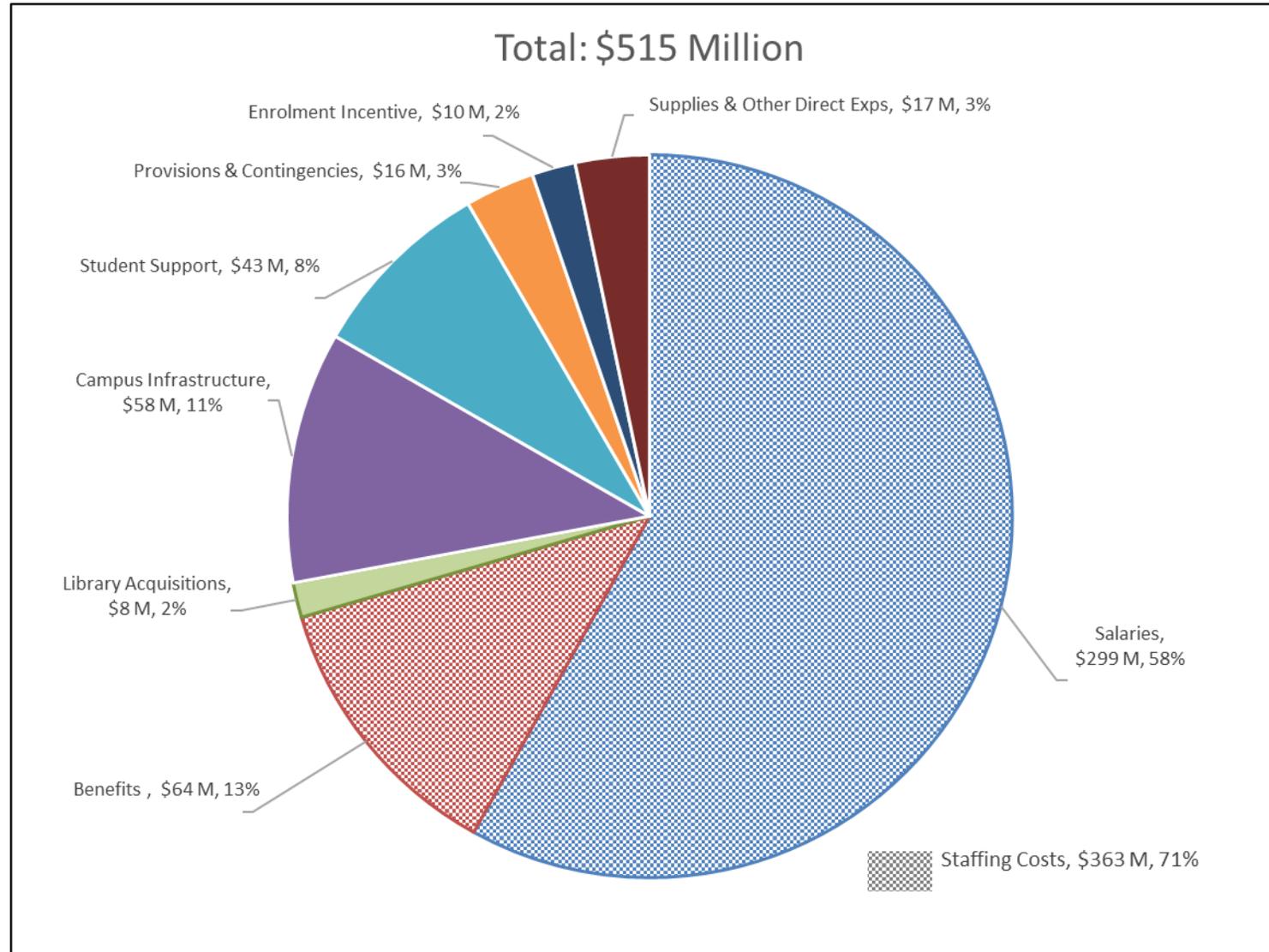
1. Government Grant - Small increase in enrolment envelope grant
2. Tuition Fees - assumes -2% UG decline & -1% grad decline; flat domestic fees & 0-8% international fee increases
3. Expenses – modest allocations only toward budget priorities

\* As of January, 2021.

# Projected Revenues for 2021-22



# Projected Expenses



# Year Over Year Expense Changes

## Changes between 2021-22 and 2020-21 opening budgets

	2021-22 Budget	Variance to 2020-21
Salaries and benefits	\$ 363 M	+ \$ 16 M
Student supports	\$ 43 M	+ \$ 6 M
Campus infrastructure	\$ 58 M	+ \$ 5 M
Other Operating expenses	\$ 51 M	- \$ 14 M
<b>Total Expenses</b>	<b>\$ 515 M</b>	<b>+ \$ 13 M</b>

# Summary: 2021-22 Allocations

<b>Investment Area</b>	<b>Base</b>	<b>Fiscal</b>
Resource Planning Committees (RPC)	\$ 3.2M	\$ 16.6M
University Budgets	\$ 5.4M	\$ 11.7M
Contingency	\$ 11.0M	\$ 8.7M
<b>Total Allocation</b>	<b>\$ 19.6M</b>	<b>\$ 37M</b>

# 2021-22 Allocations

<b>Budget Priorities</b>	<b>Base</b>	<b>Fiscal</b>
Share Knowledge, Shape the Future	\$ 2.2M	\$ 9.8M
Serve Ottawa, Serve the World	\$ 0.6M	\$ 1.7M
Strive for Wellness, Strive for Sustainability	\$ 0.4M	\$ 4.5M
Responding to the public health crisis	\$ - M	\$ 0.6M
<b>Total RPC Allocations by Budget Priority</b>	<b>\$ 3.2M</b>	<b>\$ 16.6M</b>

# 2021-22 Allocations

<b>Resource Planning Committee</b>	<b>Base</b>	<b>Fiscal</b>
Academic (Provost RPC, Faculties, Library)	\$ 2.0M	\$ 4.6M
Students and Enrolment	\$ 0.2M	\$ 2.6M
Research and International	\$ 0.2M	\$ 0.2M
Administration (President's RPC, Advancement, Finance and Administration)	\$ 0.8M	\$ 9.2M
<b>Total Allocations by RPC</b>	<b>\$ 3.2M</b>	<b>\$ 16.6M</b>

# 2021-22 Allocations

<b>Academic (Provost, Faculties, Library)</b>	<b>Base</b>	<b>Fiscal</b>
Teaching & Learning, High Impact Practices, Experiential Learning	\$ - M	\$ 1.3M
Faculty renewal	\$ 1.8M	\$ 0.4M
Indigenous Initiatives	\$ 0.2M	\$ 0.9M
Excellence & Innovation (CUBO, Kanata North)	\$ - M	\$ 0.9M
Strategic and Operational Initiatives	\$ - M	\$1.1M
<b>Total Academic</b>	<b>\$ 2.0M</b>	<b>\$ 4.6M</b>

# 2021-22 Allocations

<b>Students &amp; Enrolment</b>	<b>Base</b>	<b>Fiscal</b>
Recruitment	\$ - M	\$ 0.7M
Student Services, Exam Support & Experiential Learning	\$ 0.1M	\$ 0.6M
READ/CAN	\$ 0.1M	\$ 0.5M
Constituent Relationship Management (CRM) project	\$ - M	\$ 0.5M
Health & Counselling Services	\$ - M	\$ 0.3M
<b>Total Students &amp; Enrolment</b>	<b>\$ 0.2M</b>	<b>\$ 2.6M</b>

# 2021-22 Allocations

<b>Research &amp; International</b>	<b>Base</b>	<b>Fiscal</b>
Post-award Research support	\$ 0.1M	\$ 0.1M
Research compliance	\$ 0.1M	\$ 0.1M
<b>Total Research &amp; International</b>	<b>\$ 0.2M</b>	<b>\$ 0.2M</b>

# 2021-22 Allocations

<b>Administration</b>	<b>Base</b>	<b>Fiscal</b>
Reputation & Branding	\$ 0.5M	\$ 0.9M
IT Infrastructure	\$ - M	\$ 4.3M
IT Research Support	\$ 0.2M	\$ 1.1M
Campus Operations & Maintenance	\$ 0.1M	\$ 1.1M
Facility Upgrades	\$ - M	\$ 1.8M
<b>Total Administration</b>	<b>\$ 0.8M</b>	<b>\$ 9.2M</b>

# 2021-22 Allocations

<b>University Budgets</b>	<b>Base</b>	<b>Fiscal</b>
Student Support	\$ 1.5M	\$ 5.8M
Cleaning	\$ - M	\$ 2.2M
IT Utilities	\$ 1.9M	\$ 1.9M
Fringe Benefits	\$ 1.4M	\$ 1.6M
Other	\$ 0.6M	\$0.2M
<b>Total University Budgets</b>	<b>\$ 5.4M</b>	<b>\$ 11.7M</b>

# 2021-22 Provisions & Contingencies

*Total budget*	Base	Fiscal
Salary & Other General Contingencies	\$ 12.6M	\$ 12.6M
Pension Special Payments	\$ 7.0M	\$ - M
Enrolment Incentive (ELBA)	\$ 6.3M	\$ 6.3M
Debt Servicing	\$ 5.6M	\$3.5M
Strategic Allocation – reserve for future year	\$ - M	\$ 6.8M
<b>Total Provisions &amp; Contingencies</b>	<b>\$ 31.5M</b>	<b>\$ 29.2M</b>

The background of the slide features a photograph of a modern, multi-story building with a glass facade and a prominent tower section. The image is partially obscured by a large, semi-transparent red rectangular overlay that covers the middle portion of the frame. The sky is clear and blue, and some bare tree branches are visible in the upper right corner.

# Recommendation

Motion to Approve the 2021-22 Operating Budget as presented



# **2021-22 Budget Report**

**April 2021**

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Carleton University is pleased to present its operating budget for the 2021-22 academic year. In preparing this budget, we continue to be guided by the directions outlined in our Strategic Integrated Plan that define our 2021-22 budget priorities.

Carleton has plenty of reasons to celebrate as we have experienced much success over the years. Our Equity, Diversity and Inclusion (EDI) Action Plan, Coordinated Accessibility Strategy and *Kinàmàgawin* (Indigenous initiatives strategy) are well underway. We have undertaken a rebranding exercise to realign our key messages, storytelling, brand and marketing to enhance the university's reputation at the regional, national and international levels. We continue to support multidisciplinary research clusters, provide pathways to student success, enhance accessibility for all and establish partnerships with purpose. As the second most sustainable university in Canada, we continue to lead in sustainability and emphasize wellness and mental health in everything we do.

2020-21 was an unprecedented year that included significant operational challenges presented by the global public health crisis. In response, researchers, academic and support staff demonstrated flexibility and creativity as we adapted to the current realities while continuing to uphold our academic mission. By transitioning to remote delivery, we continue to deliver high-quality teaching and outstanding research. Throughout the pandemic, we have continued to support students by increasing levels of student aid, investing in experiential learning opportunities and introducing compassionate grading practices to respond to the additional pressures placed on students. We continue to navigate the pandemic and are planning for a gradual and safe return to campus once public health guidelines permit.

Carleton is well-positioned to pursue its three strategic directions: *Share Knowledge, Shape the Future; Serve Ottawa, Serve the World; and Strive for Wellness, Strive for Sustainability*. The 2021-22 operating budget aims to support efforts to achieve meaningful impact in each of these areas while we continue to respond to the global public health crisis.

Though Carleton is presently in good financial health, critical environmental factors continue to place pressure on maintaining a balanced budget. This budget contains investments aligned with these goals while continuing to maintain financial sustainability.

Jerry Tomberlin  
Provost and Vice-President (Academic)

Michel Piché  
Vice-President (Finance and Administration)

## 1.0 Executive Summary

Carleton's 2021-22 operating budget supports the university's plans for the coming year and recommends the resource allocations required to execute those plans. It also reflects the university's alignment of its strategic planning, risk assessments and annual planning activities. The primary goal of this budget is to advance the three directions of our Strategic Integrated Plan: Share Knowledge, Shape the Future; Serve Ottawa, Serve the World; and Strive for Wellness, Strive for Sustainability. It also aims to provide resources for responding to the ongoing global public health crisis, while maintaining medium and long-term financial stability.

We have identified a number of challenges as we strive to achieve our strategic goals while maintaining a balanced budget. These include the anticipation of a continued freeze on domestic tuition, a fixed operating grant, requirements for improvements in technology and IT security, a large deferred maintenance obligation, financial pressure created by annual compensation increases and changes in recruitment and enrolment strategies among Ontario post-secondary institutions. Budget assumptions for 2021-22 are based on a modest decline in first-year undergraduate student intake for the coming year, a fixed annual operating grant for the foreseeable future and compulsory cost increases that exceed annual revenue growth projections caused primarily by increases in compensation-related expenses.

The COVID-19 pandemic is expected to have a lasting economic, psychological and social impact. For Carleton, this could translate into changes in the way we deliver on our academic mission and how we approach new challenges related to student recruitment. Enrolment patterns are expected to shift in both the short and long term to reflect increased demand for graduate programs in areas that respond to human adaptations in commerce, technology, and wellness and wellbeing. Research interest and funding is also expected to shift in addressing new post-pandemic issues. In the short-term, we are seeing more steady enrolment at the graduate level and a modest decrease in first-year undergraduate student intake. At the time of writing, it remains unclear how much on-campus activity will be possible in the fall of 2021 at Carleton, along with all other Canadian post-secondary education institutions.

Carleton's operating budget projects total revenue and expenses of \$514.9 million for fiscal year 2021-22. This represents an increase of \$12.5 million from the \$502.4 million 2020-21 budget. The change is mainly attributable to international tuition fee increases ranging from 0% to 8% and flow-through of undergraduate international students. Domestic tuition fees for 2021-22 are planned to remain fixed at the 2019-20 level. These fees were reduced by 10% from those in 2018-19. The provincial government has yet to release an updated Tuition Fee Framework for post-secondary education institutions in Ontario.

The 2021-22 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 Strategic Integrated Planning Committee, Carleton's 2021-22 priorities are intended to support the directions of our Strategic Integrated Plan and continue to respond to the global public health crisis.

As the university works toward achieving these goals, we continue to emphasize and support initiatives that promise to increase and diversify external revenue sources and those that work to identify cost containment opportunities in the long term.

In consideration of the revenue constraints posed by the enrolment mix and projections (a cautious scenario representing a 3% decline in first-year undergraduate intake from 2020-21 levels), the current tuition fee framework, Strategic Mandate Agreement and increasing base expenditures, Resource Planning Committees (RPC) have been encouraged to use existing carry forward funds to support initiatives aimed at addressing our budget priorities. The aim to draw on unit-level reserves was reinforced through conservative budget allocations in 2021-22. This has resulted in a total of \$8.6 million in base funding invested through new faculty positions (\$0.1 million toward a new librarian position, \$1.7 million in replacement positions, and \$0.8 million in benefit costs), new continuing professional staff positions (\$1.5 million), improvements to Carleton's IT infrastructure (\$1.9 million), additional student support (\$1.5 million), inflationary costs (\$0.9 million) and other strategic initiatives (\$0.2 million). As part of Carleton's financial risk mitigation strategy, a one-time \$6.8 million "strategic set aside" has been recommended for investment in future initiatives and to address unexpected income shortfall over the planning horizon.

Carleton will continue to make use of its COVID-related contingency funds to allow for in-year investments that respond to operational impacts created by the public health crisis. Process changes, such as the centralization of the approval and renewal of faculty positions, continue to ensure that one of the university's most important strategic resources are deployed effectively.

## 2.0 The Budget Process

Carleton's planning and budget framework is based on a five-year rolling window, with the Strategic Integrated Plan providing the direction needed for the development of individual unit plans and priorities. University-wide, long-term planning is informed by the Strategic Integrated Planning Committee. These plans, converted to a series of goals and initiatives, are then assessed by the Provost's Budget Working Group, which is tasked with setting institutional direction for the coming year and allocating resources in line with the institution's priorities.

Planning and budgeting at Carleton is a centralized process. Economic and demographic factors, collective agreements, government policies and enterprise risk assessment form the basis for budget assumptions. Working with Faculties, the Registrar determines undergraduate enrolment targets for the coming academic year.

In determining priorities for the coming fiscal year, current and previous year performance is assessed and integrated into the planning process. In-year financial updates are assessed against unit level plans, priorities and budgets, while making resourcing adjustments as necessary. These updates are shared with the Strategic Integrated Planning Committee and incorporated into budget priority setting and resource allocation decisions for the coming year.

In March, Resource Planning Committee (RPC) Chairs meet to present their proposed budgets, thus promoting transparency and fostering discussion and collaboration across units. This approach ensures that proposed initiatives are aligned with the needs of the academic enterprise and service units, establishes spending priorities and considers the alignment and efficiency of service delivery. As a result, budgetary allocations are informed not only by the overall financial situation of the university, but also by the values and priorities of individual units.

Annual allocations are also affected by the university's Enrolment-Linked Budget Allocation (ELBA), which provides Faculties with a share of additional revenue associated with growth in enrolment. The ELBA funds are built into Faculty base budgets over time and are intended to cover increased teaching costs, lab infrastructure and equipment, as well as student initiatives associated with increases in enrolment. The academic and administrative RPCs are permitted to 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.

Internally, Carleton restricts certain funds to respond to unexpected events that could impact revenue or expenditures. When assessing funding requests from the RPCs, the Provost's Budget Working Group examines all resources available to the RPCs.

The planning and budgeting review process continues throughout the fiscal year. A mid-year contingency reserve is available to respond to post-budget requirements presented by the RPCs to take advantage of unexpected challenges and opportunities.

The university's annual Financial Report, which includes the consolidated financial statements and management discussion, completes the planning and budgeting cycle and highlights operating and financial results.

## 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; 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 government 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. Programming offered by ancillary services includes housing and dining for students, dining options throughout campus, recreation and athletic programs, medical and counselling services, retail outlets, events management both on campus (as well as off campus at the Carleton Dominion-Chalmers Centre), parking on campus, printing services, and overseeing student cards and transit passes.

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

Restricted Funds encompasses funds earmarked for a specific or limited purpose, with limitations placed on them by external agencies, donors or internally by the university. They are typically set up to support students through scholarships and bursaries and provide financial support relating to specific activities. These funds comprise both special purpose funds and endowment funds. Funds can also be internally restricted by the Board for specific purposes.

## 3.0 Budget Priorities and Pressures

As part of the annual planning and budget cycle, the Strategic Integrated Planning Committee sets the direction and priorities of the university. At the end of the SIPC planning process, the following priorities were established for the coming fiscal year:

- Share Knowledge, Shape the Future;
- Serve Ottawa, Serve the World;
- Strive for Wellness, Strive for Sustainability; and
- Responding to the Public Health Crisis.

As the university works toward achieving its goals, planning efforts will also prioritize investments aimed at improving our branding, increasing and diversifying external revenue sources, implementing cost containment initiatives and the renewal of campus infrastructure.

### Priorities of Resource Planning Committees

In support of university-wide directions established by Carleton's Strategic Integrated Plan, divisions and Faculties have identified several priorities for new or continued investment in 2021-22:

- Reputation and branding;
- Recruitment;
- Kinàmàgawin Indigenous Initiatives Strategy;
- Equity, Diversity and Inclusion (EDI) Action Plan;
- Carleton University Bright Outlook committee initiatives;
- Student success, high impact pedagogy, teaching and learning
- Improving faculty to student ratios;
- Health and counselling services;
- Community engagement;
- Improvements to IT infrastructure, campus operations and maintenance;
- Research, Education, Accessibility and Design (READ) Initiative / Canadian Accessibility Network

### **Budget Pressures**

#### **Tuition and Other Fees**

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In 2019, the Ontario government announced a 10% tuition fee reduction on all domestic tuition fees for the 2019-20 academic year, followed by a tuition freeze in 2021-22. For Carleton, this policy change resulted in an opportunity cost of \$27 million. Given the current climate, Carleton is anticipating that the next Tuition Fee Framework will likely continue to hold tuition fees at 2019-20 levels. The provincial government has not yet released an updated Tuition Fee Framework for post-secondary education institutions in Ontario.

#### **Enrolment during COVID-19 Pandemic**

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Carleton anticipates a moderate reduction in 2021-22 undergraduate enrolment of 2% and international enrolment of 1%, with a return to slow, moderate growth pattern beginning in 2022-23. This projected decline is due to factors such as international travel restrictions, short-term changes in student demand directed toward health and medical programs, and an over-enrolment strategy undertaken by certain Ontario universities. Applications from students in the Ottawa area have increased, which is a group that historically has a higher confirmation rate than other groups.

Meeting enrolment targets continues to be one of Carleton's top financial risks. Healthy first-year undergraduate student enrolment is one of the main drivers of the university's financial sustainability, in addition to strong retention rates. Given the pandemic and restricted access to Canada, international student recruitment is at a higher level of risk than in previous years. These students may be affected in their ability to enter Canada to study through changes in the issuance of Study Permits or Post-Graduation Work Permits, and they may be hesitant to study abroad during a global public health crisis. Strong growth in international recruitment in prior years provides the necessary level of student flow-through, coupled with increases in international tuitions fees, to mitigate the financial risk in the short-term.

### **Strategic Mandate Agreement**

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During the first and second rounds of Strategic Mandate Agreements, the Ministry of Colleges and Universities (MCU) committed to engaging the university and college sectors on changes to their respective funding models in order to better support funding predictability and stability, as well as support differentiation and student-focused outcomes. This resulted in the implementation of the corridor mechanism (universities entered enrolment corridors in 2017-18), along with the establishment of the Differentiation Envelope and the Performance/Outcomes-Based Funding Grant. The provincial government announced that performance/outcomes-based funding would be expanded through the third round of Strategic Mandate Agreements, associating a system-average of 25% of MCU operating grant funding to be provided on the basis of performance outcomes, ramping up to 60% by 2024-25. In recognition of the COVID-19 pandemic context, MCU has decided to delay the planned activation of performance-based funding for a minimum of two years (2020-21 and 2021-22) of SMA3 with a commitment to use the SMA3 Annual Evaluation process to determine readiness to proceed with activation for the remaining years of SMA3.

### **Provincial Government Deficit**

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The Ontario Government's 2020-21 budget update, released in February 2021, is projecting a deficit of \$38.5 billion, compared to a pre-budget estimate of \$20.5 billion. This deficit is planned to continue at a level of \$33.1 billion in 2021-22, \$27.7 billion in 2022-23 and \$20.2 billion in 2023-24.

This increase in planned deficit spending is directly attributed to the impact of the global pandemic on the people and businesses of Ontario. The university anticipates that provincial spending restraints will impose significant pressure on all provincially-funded sectors which may result in the corridor model continuing for the foreseeable future.

### **Information Technology**

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During 2021-22, Carleton will be renewing its Digital Strategy, which will build on a shared vision of how we can use digital technology to support the Strategic Integrated Plan, select our digital investments and leverage our technological roadmap to inform and align unit-level planning and budgeting.

Due to the COVID-19 pandemic, Carleton has had to adapt its systems to online course delivery and increase remote access capabilities. While the university has been largely successful in enabling this transition and managing its systems in this new environment, there are potential risks that it may not be able to adequately respond to demands for more capacity or new services, that existing service models do not fully meet the university's needs, and that the maintenance of highly customized, legacy IT systems (technological debt) impede the introduction of new services and innovation.

### **Deferred Building Maintenance**

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Based on the province's 2020 Facilities Condition Assessment Program, the university's total deferred maintenance backlog on academic and administrative buildings presently stands at \$332 million. Deferred maintenance projects are funded by a 10-year \$140 million asset renewal program along with annual contributions of \$4.0 million from the provincial government through the Facilities Renewal Program. Plans are also underway for major renovations to two academic buildings.

**Maintaining a Balanced Budget**

Carleton's operating revenues have continuously increased over the preceding 10-year period. This growth has driven significant increases in costs for new faculty and professional staff positions, services, student support and infrastructure. Throughout this period of growth, the university has continued to present a balanced budget. As this period of growth is anticipated to slow, Carleton is facing a potential structural budget challenge. Projections of operating revenue indicate increases of approximately 1-2% per year over the next five years, while our base expenditures are planned to increase by 2-4%. Under this scenario, one-time fiscal allocations may be limited in the coming years. To sustainably respond to the current structural budget gap, Carleton continues to pursue revenue diversification and cost-containment strategies.

## 4.0 Financial and Budget Policies

Major financial policies are approved by the appropriate authority, such as the 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 are part of the university's internal financial control framework and support budgeting and financial reporting by the university. This section describes the key financial policies and guidelines that support Carleton's planning and budgeting activities.

### Balanced Budget

As currently mandated by the Board of Governors, the operating budget must be balanced each year. Carleton 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 SMA3 objectives and priorities. Revenues directly attributable to an RPC remain with the RPC.

### Risk Management

Carleton is committed to risk management on a university-wide basis as detailed in the Enterprise Risk Management Program's *Risk Management Manual*. The Board of Governors requires an annual audit of the university's financial statements by an independent certified public accounting firm, hired through a public bidding process. In addition, Carleton 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 \$5 million 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. Carleton is committed to undertaking debt only when doing so is the most advantageous financing alternative available in achieving its 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 SIPP must be reviewed and approved annually by the Board of Governors.

### Operating and Capital Reserves

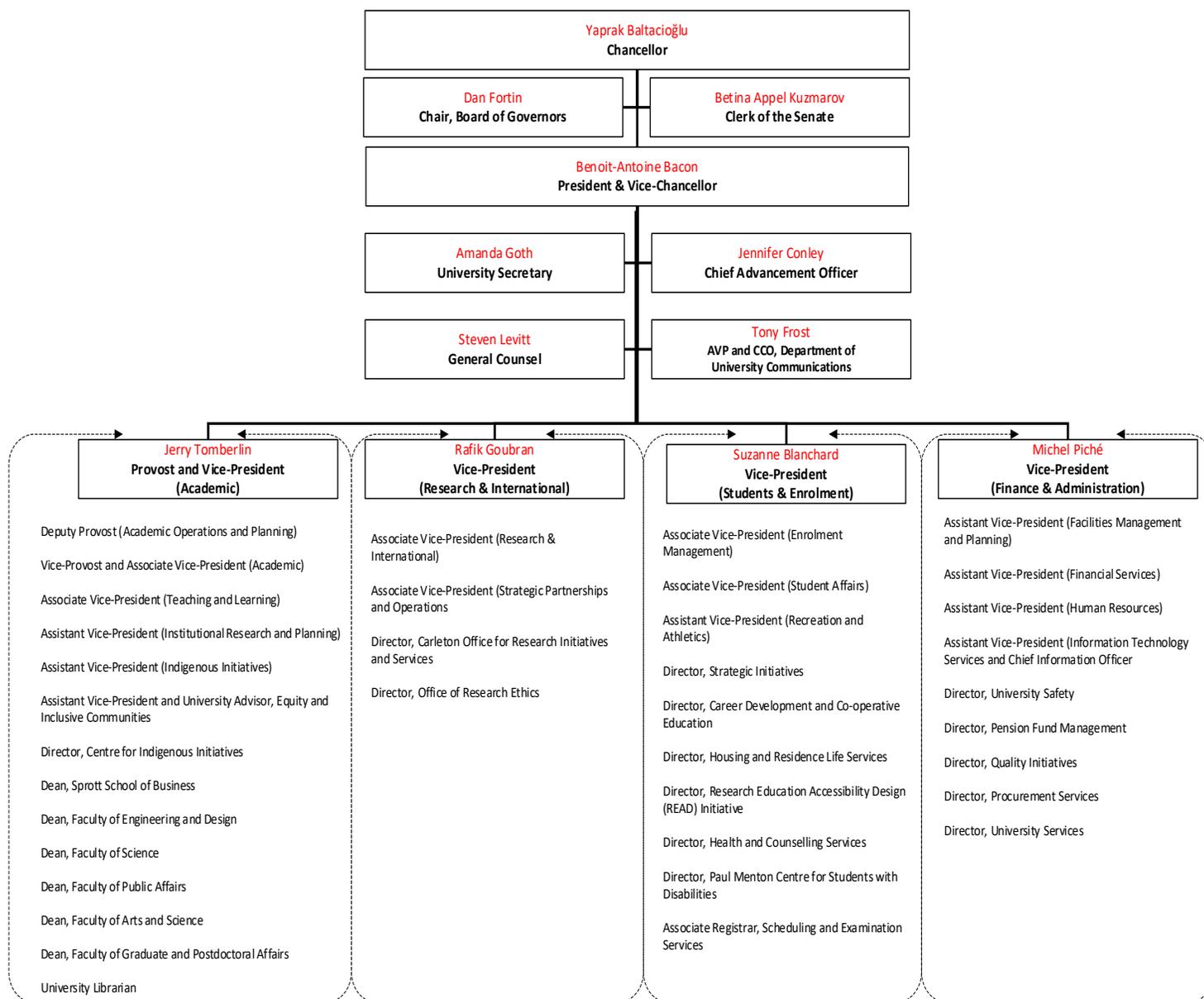
Carleton recognizes that reserves are the cornerstone of financial flexibility to manage risks inherent in long-term financial planning. Reserves are held centrally and within academic units to support specific strategic initiatives as well as to address economic uncertainties. Appropriated reserves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

**Broader Public Sector Expenses Directive**

As a designated Broader Public Sector organization, Carleton 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
- Sprott School of Business
- Faculty of Science
- Faculty of Engineering and Design
- Faculty of Public Affairs
- University Library
- Office of the Provost and Vice-President (Academic)
- 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
- Advancement

## 6.0 The Operating Budget

In 2021-22, Carleton proposes a balanced operating budget, with revenues and expenditures of \$514.9 million, compared to \$502.4 million in 2020-21. This section provides detailed information on the components of revenues and expenditures. Section 8.0 provides further details on the operating budget.

In summary:

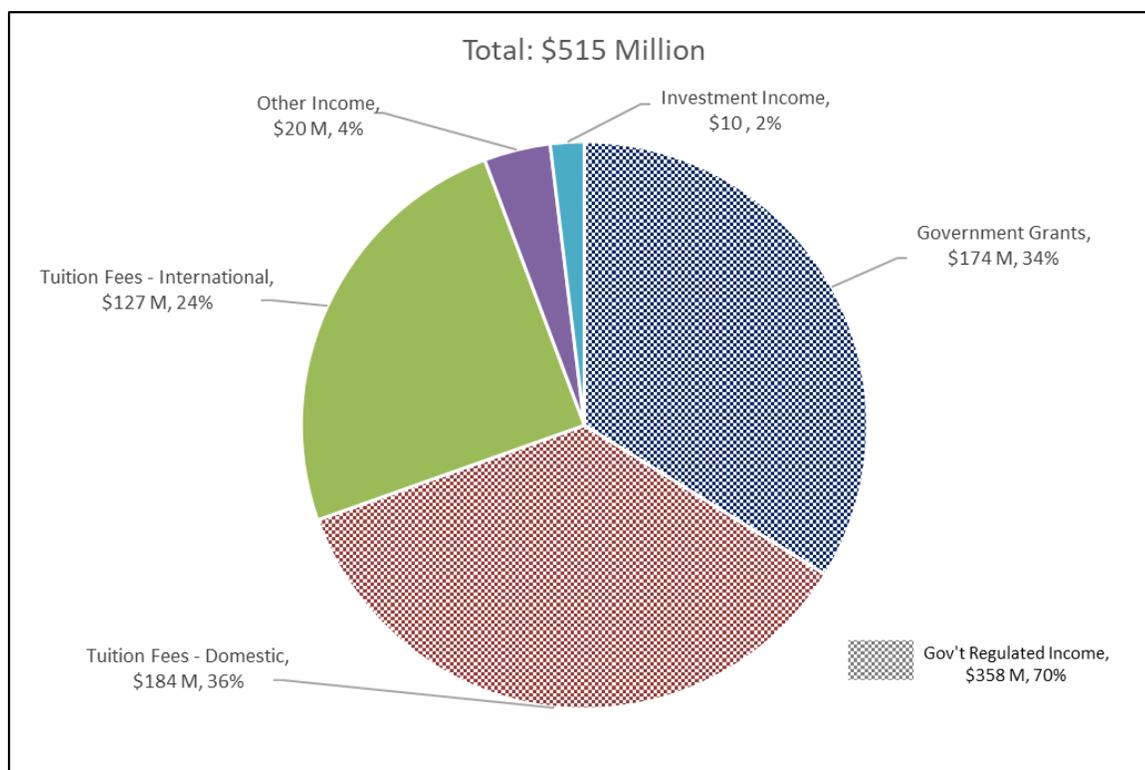
	<i>2020-2021 Budget</i>	<i>2020-2021 Projected Actuals</i>	<i>2021-2022 Proposed Budget</i>
	<i>(\$000's)</i>	<i>(\$000's)</i>	<i>(\$000's)</i>
Income	502,380	515,162	514,854
Expenditures and Transfers	502,380	510,162	514,854
<b>Net Result</b>	-	5,000	-

The following sections compare the 2021-22 Proposed Budget with the 2020-21 Approved Budget.

### 6.1 Operating Income

The operating fund is supported by four key revenue sources:

- **Tuition fees** –includes fees collected for domestic and international students.
- **Government operating grants** – operating envelope, differentiation envelope, special purpose envelope and funding for federal research overheads.
- **Investment income** – Income generated on cash investments and internally financed loans.
- **Other income** – application fees, deferred payment and late registration, overhead recoveries and departmental income.



Operating income is expected to total \$514,854,000, an increase of \$12,474,000 over the 2020-21 approved Budget. Each category is reviewed below.

## 6.2 Tuition Fees

Most tuition fee revenue is derived from undergraduate enrolment. In 2020-21, Carleton's projection of undergraduate tuition is approximately \$273 million, with the remaining \$38 million projected toward graduate tuition. Domestic tuition makes up \$184 million of the total, with the other \$127 million coming from international students. The \$9 million increase in tuition revenue from budget 2020-21 relates to fee increases for international students (0% to 8%) and international enrolment growth flow through. This projection is based on a cautious enrolment planning scenario representing a 2% reduction in undergraduate enrolment and 1% international enrolment from 2020-21 levels, along with frozen tuition fees at the 2019-20 level. This projected decline is due to factors such as international travel restrictions, short-term changes in student demand directed toward health and medical programs, and an over-enrolment strategy undertaken by select Ontario universities. Applications from students in the Ottawa area have increased, which is a group that historically has a higher confirmation rate than other groups. A return to a slow, moderate growth pattern is expected to beginning in 2022-23.

Growth in tuition will be limited by the current corridor enrolment model, established as part of the 2017-20 Strategic Mandate Agreement (SMA2). For Carleton's SMA3 (2021-25), provincial grant funding for domestic students continues to be restricted to our corridor midpoint over the next five years. The uncertainty surrounding regulatory increases in domestic, grant-eligible tuition fees creates additional pressure for Carleton to support future institutional initiatives through the traditional method of student growth and tuition fee increases.

The following chart compares tuition revenue by category from the Approved 2020-21 Budget to the 2021-22 Proposed Budget:

	<b>2020-2021 Budget</b>	<b>2020-2021 Projection</b>	<b>2021-2022 Proposed Budget</b>	<b>Budget Change</b>
	(\$000's)	(\$000's)	(\$000's)	(\$000's)
Undergraduate Fees	242,902	243,135	249,900	6,998
Summer Session Fees	19,980	26,576	23,500	3,520
Graduate Fees	39,180	40,038	37,800	(1,380)
<b>Total</b>	<b>302,062</b>	<b>309,749</b>	<b>311,200</b>	<b>9,138</b>

### 6.3 Government Operating Grants

Government grants for 2021-22 are projected to be \$1,643,000 above those identified in budget 2020-21.

	<b>2020-2021 Budget</b>	<b>2020-2021 Projection</b>	<b>2021-2022 Proposed Budget</b>	<b>Budget Change</b>
	(\$000's)	(\$000's)	(\$000's)	(\$000's)
Core Operating Grant	150,875	124,003	123,168	(27,707)
Performance Funding	12,824	42,593	42,593	29,769
Research Overheads	5,701	5,292	5,292	(409)
Other grants	3,083	3,083	3,073	(10)
Grants offset by additional expense	-	4,607	-	-
<b>Total</b>	<b>172,483</b>	<b>179,578</b>	<b>174,126</b>	<b>1,643</b>

With the activation of the third round of Strategic Mandate Agreements, 35% of Carleton's MCU operating grant funding in 2021-22 was to be provided on the basis of performance outcomes, moving to 45%, 55% and finally 60% by 2024-25. This means that by 2024-25, \$105 million of MCU grant funding will be at risk and distributed on the basis of achieving performance targets set by the Ministry. The grant budget for 2021-22 reflects the continued shift towards more performance-based funding, as well as a slight increase in the International Student Recovery that is a part of the core operating grant.

In response to COVID-19, the government has delayed the implementation of performance-based funding by a minimum of two years (2020-21 and 2021-22) with a commitment to use the SMA3 Annual Evaluation process to determine the university's readiness to proceed with implementation. Carleton will work toward meeting or exceeding all of its performance targets over the next five years. However, there is a risk that not all performance targets will be met over the duration of the agreement. Additionally, it is recognized that metrics such as Graduate Employment Earnings and Community/Local Impact are largely beyond the control of actions undertaken by the university.

Other grants include the Accessibility Fund for Students with Disabilities, Municipal Tax and Credit Transfer funding, while grants offset by additional expense relate to special purpose grants received during the for targeted initiatives such as student success and financial support. The proposed opening budget for 2021-22 does not include amounts for these restricted grants, which will be adjusted during the year as amounts are confirmed and received.

## 6.4 Other Income

	<b>2020-2021 Budget</b>	<b>2020-2021 Projection</b>	<b>2021-2022 Proposed Budget</b>	<b>Budget Change</b>
	(\$000's)	(\$000's)	(\$000's)	(\$000's)
Miscellaneous fees	6,578	5,578	6,578	-
Miscellaneous income	5,148	5,148	5,148	-
Department income	7,859	6,859	7,802	(57)
<b>Total</b>	<b>19,585</b>	<b>17,585</b>	<b>19,528</b>	<b>(57)</b>

Other income for 2021-22 remains relatively unchanged from the 2020-21 budget, with only small decreases in certain departmental income expected.

## 6.5 Short-Term Investment Income

Short-term investment income is forecasted to total \$10 million for the 2021-22 fiscal year.

The breakdown is as follows:

	<b>2020-2021 Budget</b>	<b>2020-2021 Projection</b>	<b>2021-2022 Proposed Budget</b>	<b>Budget Change</b>
	(\$000's)	(\$000's)	(\$000's)	(\$000's)
Investment income on cash flows	6,972	6,972	8,734	1,762
Endowment income*	275	275	295	20
Interest charges to ancillaries and internal loans	1,003	1,003	971	(32)
<b>Total</b>	<b>8,250</b>	<b>8,250</b>	<b>10,000</b>	<b>1,750</b>

\* 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).

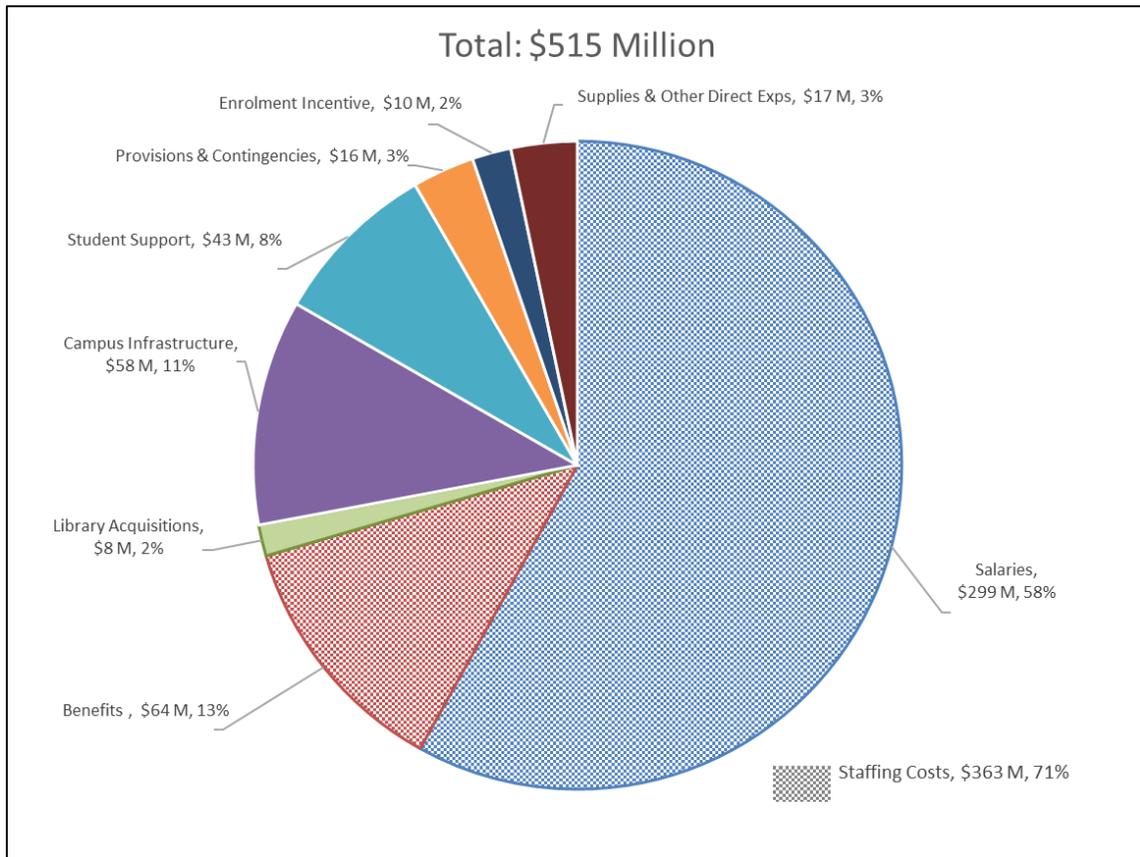
In 2015, the Investment Committee decided to invest \$100 million of available operating cash in equity funds. Over the long term, this decision had yielded higher returns, yet it is recognized that equity funds are more susceptible to market risks. To mitigate this risk and shield the operating budget from large variations in actual results, any variation in actual investment income earned against budget will be appropriated to, or drawn from, an investment income equalization fund. As at May 1, 2020, the investment income equalization fund had a balance of \$39.9 million.

### 6.7 Operating Expenditures

The operating expenditures proposed for 2021-22 amount to \$514,854,000, as compared to \$502,380,000 in the 2020-21 approved budget.

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

- Salaries and benefits
- Campus infrastructure – expenditures for maintenance, renovations, facilities, utilities and equipment.
- Student support and enrolment incentives – scholarships, bursaries and awards provided by the university over and above the Ontario Student Assistance Program (OSAP).
- Other expenditures – library acquisitions, research support, campaign matching funds, travel and supplies.



## 6.8 Resource Allocations

\$19.6 million in base and \$37 million in fiscal are being recommended for allocation. This level of resourcing has been made available through a base budget surplus planned in 2020-21, a projected \$12.5 million increase in revenue, and savings realized through faculty renewals. The following table illustrates the allocation of resources to Resource Planning Committees (RPCs), university budgets, and provisions and contingencies.

	<i>Retirement Reduction Applied</i>	<i>Base Budget Allocation</i>	<i>Fiscal Budget Allocation</i>
	(\$000)	(\$000)	(\$000)
Faculty of Arts and Social Sciences	(265)	219	146
Faculty of Public Affairs	(1,094)	785	229
Sprott School of Business	(330)	287	626
Faculty of Science	(416)	224	-
Faculty of Engineering and Design	(563)	343	-
Provost and Vice-President (Academic)		28	3,236
Vice-President (Students and Enrolment)		176	2,602
Library		100	330
Vice-President (Research and International)		175	175
Vice-President (Finance and Administration)		302	8,330
President		555	934
Advancement		-	-
<b>Subtotal</b>	<b>(2,668)</b>	<b>3,194</b>	<b>16,608</b>
University Expense Budgets		5,419	11,659
Provisions and Contingencies	-	11,017	8,724
<b>Total</b>	<b>(2,668)</b>	<b>19,630</b>	<b>36,991</b>

All requests for funding from Resource Planning Committees were required to demonstrate connection to the budget priorities of the current cycle.

	<i>Base Budget Allocation</i>	<i>Fiscal Budget Allocation</i>
	(\$000)	(\$000)
Share Knowledge, Shape the Future	2,221	9,799
Serve Ottawa, Serve the World	564	1,676
Strive for Wellness, Strive for Sustainability	409	4,533
Respond to public health crisis	-	600
<b>Total</b>	<b>3,194</b>	<b>16,608</b>

In response to these allocation decisions, RPCs are planning to accomplish the following in the coming year:

## President

The strategic directions outlined in Carleton's new and exciting Strategic Plan will guide budgeting priorities and resource allocations for the following five annual cycles. In addition to investments in teaching, research and the student experience, the plan outlines priorities in community engagement, internationalization, wellness (EDI, Indigenous initiatives, accessibility, mental health) and sustainability. In the coming year, the Office of the President will work with the Department of University Communications towards a major push in increasing the university's visibility and reputation through the Reputational Enhancement Project (storytelling, branding and marketing).

## Provost and Vice-President (Academic)

The Provost and Vice-President (Academic) is tasked with overseeing Carleton's success in meeting the university's performance targets identified in the Strategic Mandate Agreement (SMA3), and strategic initiatives in support of the new Strategic Integrated Plan, the Equity, Diversity and Inclusion (EDI) Action Plan, and the 41 calls to action outlined in the *Kinàmàgawin* (Learning Together) Indigenous initiatives strategy. With the Provost's portfolio having expanded to include Equity and Inclusive Communities, the Centre for Indigenous Initiatives and the new Office of the Associate Vice-President Indigenous Initiatives, Indigenous initiatives and activities that support EDI have taken on increased importance on campus. The New Names for New Times Initiative will also see the renaming of three buildings on campus to reflect the university's commitment to EDI.

The Provost, through the Office of the Deputy Provost (Academic Operations and Planning), will undertake a review of the University's planning and budgeting model, in an effort to increase transparency and accountability, and will develop and launch a new Carleton Academic Plan. Teaching and Learning Services, along with the Faculties, will continue to implement the recommendations of the Student Success in the Classroom Working Group and implement Brightspace, Carleton's new Learning Management System.

## Faculty of Arts and Social Sciences

The Faculty of Arts and Social Sciences (FASS) will be directing its efforts to intensify communications support for recruitment efforts, coordinate substantive response to action items in *Kinàmàgawin*, the EDI Action Plan, and the Coordinated Accessibility Strategy, and continue development of academic programming focused on the SIP theme of Strive for Wellness, Strive for Sustainability. For the student experience, plans are underway to expand experiential learning opportunities to align with the region's post-COVID recovery priorities and grow community engagement, as well as to design employability courses tailored to FASS disciplines. The Faculty plans to enhance research dissemination to support the early findings of the Reputational Enhancement Project and increase fiscal support to facilitate faculty leadership of large-scale, Tri-Council projects. Plans are also underway to transition *Learning in Retirement* to a FASS-wide *Lifelong Learning* program.

## Faculty of Public Affairs

A new and important objective for FPA in the coming year is to underscore its commitment to Indigenousization and equity, diversity and inclusion. Creating a new Assistant Dean position and earmarking a level of funding to support various initiatives are key to meeting this objective.

FPA has achieved tremendous success in strengthening its research profile in recent years, which is of central importance for enhancing its—and Carleton's—reputation. A key goal in 2021-2022 is to sustain this success in the face of the challenges introduced by COVID-19.

Uncertainty exists, however, in the face of declining enrolments in recent years in the Faculty. Embarking on a strategic planning exercise and linked concerted marketing efforts will assist in addressing and arresting this decline and its associated financial ramifications. Similarly, continued attention to innovative programming and the student experience is of the utmost importance to stemming this decline.

## Sprott School of Business

Carleton has made a significant investment in the Nicol Building, the new Sprott brand and the Innovation Hub. Sprott has put in place new plans and structures that will allow it to leverage these investments through enhanced marketing and recruitment, program innovations and external partnerships.

Despite the challenges of the 2021-22 academic year, Sprott's management team has led the school through strategic and operational planning, which position it for growth and reputation enhancement in the years to come. In 2020, the School launched *Vision 2025: Business for a Better World*, a strategic plan that was developed through deep consultation within and outside of our community.

In line with the strategic plan, Sprott has already begun its transformation. Preparations have been made to open the Nicol Building, ensuring that it is equipped and ready for more collaborative and experiential learning. The School is ready to launch a new Innovation Hub that will serve all Carleton students, with an incubator and educational space in the main floor area of the Nicol Building. A four-year \$900,000 grant from Invest Ottawa, as well as seed investment, has been received to begin new innovation activities, to re-launch the Lead to Win program and to leverage the Wes Nicol Entrepreneurship Funding for students. In addition, new funds have been raised to expand partnerships to support innovation activities. Sprott Faculty also submitted a comprehensive proposal to become Canada's Black Entrepreneurship Knowledge Hub, bringing 90 university and industry partners in our application. A new Global Centre for Indigenous Entrepreneurship in partnership with Indigenous Works has been launched with university partners in Australia and New Zealand.

As Sprott works in collaboration with the Department of University Communications and Banfield on the new Sprott brand, it has been laying the groundwork for a launch with a complete revision of its website and an enhanced social media strategy. Work has begun on new recruitment activities and planning, including extended outreach to high schools and new international partnerships and recruitment initiatives, particularly in Africa and Southeast Asia. In January 2021, an innovative partnership with Atlantic Hall high school in Nigeria began, providing entrepreneurship education for their teachers and experiential learning through the Sprott Student Consultancy Group for 14 junior and senior high school students. Considerable efforts have been made to enhance the School's reputation through outreach and partnership. The Sprott Student Consultancy Group has been a key vehicle for collaboration with local businesses, enabling a close working relationship with several businesses as they respond and pivot during the pandemic. Significant outreach to businesses in Kanata North is also underway, working in partnership with the Faculty of Engineering and Design and the Faculty of Science to set up offices in Kanata North and accelerate Carleton's outreach and partnerships in the region. The Dean of Sprott has been appointed to the Board of the Kanata North Business Association and has participated in planning for new development with the area's designation as a Special Economic Zone.

A key area of focus for Sprott in the next year will be to continue with curricular innovations and new programming that allow the school to grow and to increase the accessibility of business education to wider audiences. This includes a comprehensive plan to strengthen the culture of Sprott to ensure that the school is a welcoming and supportive community offering personalized educational opportunities that allow all students to realize their potential. Plans are underway for a more inclusive curricula, ladder credentials to access our programs, an Alternative Pathway to the Bachelor of Commerce (BComm) program and increased opportunities for professional learners (PMBA, MBA Online, professional and executive programs). Sprott has taken the lead on Education City, a joint initiative of four Ottawa post-secondary education institutions to offer degrees that are more flexible and work-integrated. The school is redesigning its main programs, the BComm, BiB and MBA to better respond to market needs and to align with the priorities in our strategic plan, with significant enhancements of experiential learning opportunities and growth in key areas, mainly Entrepreneurship, Sustainable Business and Business Analytics.

## 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 the number of teaching, research and staff positions. Renovation projects in the Steacie Building, the Nesbitt Building and the Herzberg Buildings are underway or planned.

We are expanding our research and programming strength in areas of strategic importance to Science and that align with the SIP, including: Conservation and Sustainability; Data Science; and Health and Wellness.

The Faculty is continuing the development new cost-recovery programs, micro-credentials, and professional development opportunities. Collaborations with the other Faculties continue in an effort to offer more truly interdisciplinary programming, such as the new Collaborative Specialization in Climate Change.

## Faculty of Engineering and Design

The Faculty of Engineering and Design has identified the need to increase its teaching and research capacity in order to maintain its leading position in its fields of study and research. Significant resources are being directed toward an aggressive faculty hiring plan to add a significant number of faculty members to its four departments. The natural consequence of hiring faculty is the need for more research space, the need to address significant legacy issues in non-library student study space and the need for additional undergraduate labs. The Engineering and Design Centre is the first step in addressing space needs for the Faculty.

## Vice-President (Research and International)

The main objectives of the Office of the Vice-President (Research and International) (OVPRI) are to support and promote research, create incentives to increase research productivity, establish strong partnerships and coordinate our international activities.

During the past two years, Carleton was successful in boosting its research productivity as evident from the increase in external research funding, partnerships, publications, and citations. While continuing to expand the ongoing initiatives, it is important to ensure that these successes translate into improvements in our reputation and rankings. This goal can only be achieved through telling our research success story sharply, strategically and loudly.

OVPRI will continue to invest in supporting researchers, innovation transfer, outreach and partnerships. OVPRI will continue to work with other units such as Advancement, Information Technology Services and Research Financial Services to achieve these objectives.

## Vice-President (Student and Enrolment)

Priorities for the Office of the Vice-President (Student and Enrolment) for 2021-22 include the implementation of the university's Accessibility Strategy and Employability framework. The Student Mental Health Framework continues to be a focus toward supporting student success on campus, as is the implementation of the Academic Continuing Evaluation and Advising Framework.

VPSE will be active in ensuring Carleton's rebranding efforts are reflected in enrolment efforts, as competition for high-achieving students continues to increase among post-secondary education institutions in Ontario.

VPSE will continue to develop the Research, Education, Accessibility and Design (READ) initiative and the Canadian Accessibility Network, seek to achieve Excellence Canada's Excellence, Innovation and Wellness (EIW) silver status, and complete IT projects such as Carleton 360, Ventus and the Carleton mobile app.

## **Vice-President (Finance and Administration)**

Continuing to support faculty, staff, and students throughout the pandemic will remain the top priority of the Finance and Administration (F&A) division in 2021-22. This includes planning and supporting the eventual return to campus with attention given to: maintaining a safe work environment, providing appropriate IT provisioning and resiliency, managing evolving demand for space and campus transportation challenges, among many others.

While the focus of the F&A division will remain on COVID-19 in the coming year, other important initiatives will continue, such as consultations towards developing a university-wide Digital Strategy, led by the Office of Quality Initiatives (OQI) and Information Technology Services (ITS), and the update to the Campus Master Plan, led by Facilities Management and Planning. Efforts will also continue to improve the efficiency of administrative processes using OQI's lean reviews and ITS system team. The Human Resources Department will work to implement its new Talent Management Framework and will oversee the adoption of flexible work practices for a post-COVID-19 environment. As part of its operating plan, F&A will adopt Sustainability and EDI initiatives, such as working towards net zero emissions, enhance green spaces and conservation, promote sustainable procurement, and the Engagement and Inclusion Officer Program led by Campus Safety Services.

## **University Library**

The MacOdrum Library plans to continue to improve access to collections and data for research, teaching and learning, as well as 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, the Book Arts lab and Indigenous initiatives.

## **Advancement**

This budget focuses on core Advancement priorities: building new revenue, brokering partnerships, and empowering personal and departmental resilience through challenging times.

## **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 IT infrastructure and scholarships and bursaries were awarded additional base funding.

Allocations of one-time fiscal budget for 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. A one-time fiscal budget was also awarded toward additional on-campus cleaning related to COVID-19 restrictions.

## 6.9 Provisions and Contingencies

The 2021-22 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	7,117	5,417	12,534
b) Enrolment incentive (ELBA)	6,349	-	6,349
c) Strategic provisions	7,000	3,307	10,307
<b>Total provisions and contingencies</b>	<b>20,466</b>	<b>8,724</b>	<b>29,190</b>

- a) The general contingencies total \$12.5 million and relate mostly to foreseen requirements that cannot be immediately quantified.
- b) In 2009-10, 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 2021-22, \$6.3 million of enrolment growth incentive is available for distribution to the Faculties.
- c) 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 pension special payments. 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, the plan's funded status was above 85% and solvency funding will not be required during the existing valuation period (2019-20 to 2021-22). In addition, the university made a special payment in 2019-20 to address the going-concern deficit of \$59.3 million, which makes the pension plan fully funded on a going-concern basis.

Given the ongoing global and economic uncertainty of the impacts the COVID-19 pandemic, the university continues to hold funds as a provision for future needs.

## 7.0 Five-year Financial Outlook

The university uses a five-year rolling forecast to inform the availability of resources for the upcoming budget year. The premise of the model is that the budget must break even every year. It is expected that ongoing base revenues will be sufficient to cover base expenditures throughout the five-year timeframe. This outlook assumes that the effects of the COVID-19 pandemic will be temporary.

On the revenue side, the enrolment projection included in the plan is based on first-year student intake rebounding in 2022-23 and flat domestic tuition rates until 2023. Subsequent to that, domestic tuition fee rates are assumed to follow a framework allowing for moderate increases between 2% and 3% beginning in 2023.

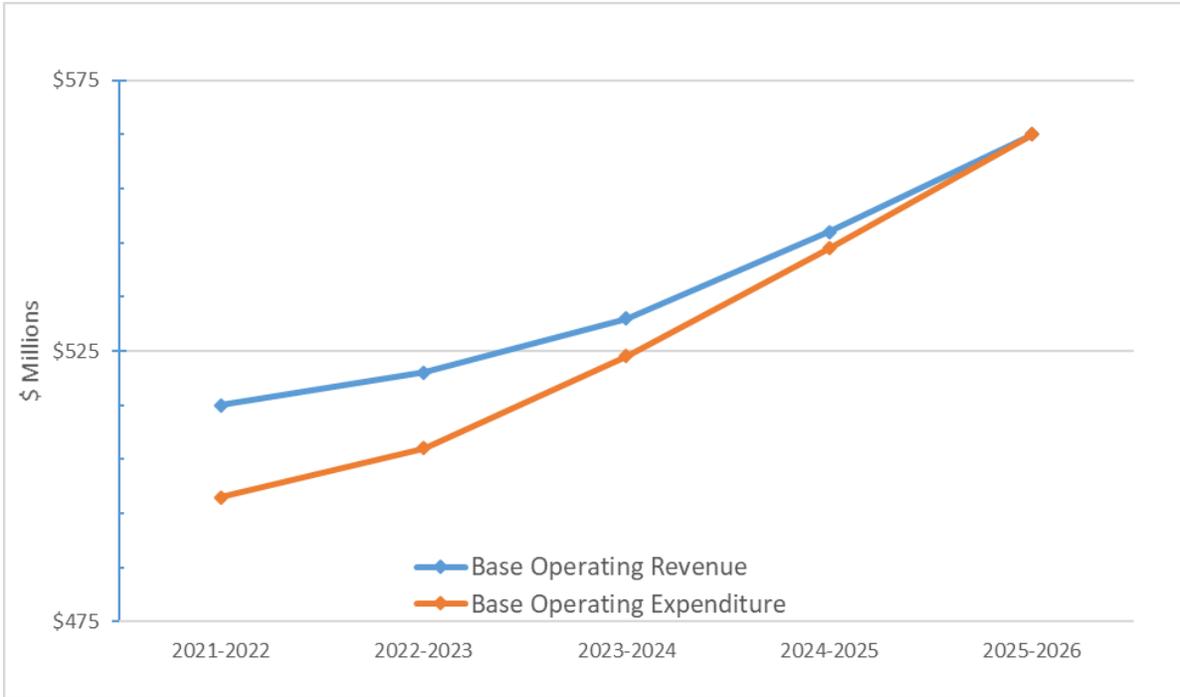
The majority of operating grant income is regulated by the Ministry of Colleges and Universities. With the activation of the third round of Strategic Mandate Agreements, the total funding envelope through to 2024-25 is capped at the 2019-20 level. In response to COVID-19, the government has decided to delay the implementation of performance-based funding by a minimum of two years (2020-21 and 2021-22) with a commitment to use the SMA3 Annual Evaluation process to determine the university's readiness to proceed with implementation. Carleton will work toward meeting or exceeding all of its performance targets over the next five years. However, there is a risk that not all performance targets will be met over the duration of the agreement.

Expenditure increases for non-discretionary and/or strategic university budgets (e.g., utilities and 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 \$4 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 2021, once actual enrolment is known. Favourable changes to the forecast would be influenced by enrolment growth, higher non-regulated revenues and operating efficiencies. Unfavourable changes would be impacted by a continuing tuition fee freeze, funding grant reductions or higher than planned cost increases.

<b>Operating Fund</b>	<b>2021-2022 Base Budget</b>	<b>2022-2023 Outlook</b>	<b>2023-2024 Outlook</b>	<b>2024-2025 Outlook</b>	<b>2025-2026 Outlook</b>
	(\$M's)	(\$M's)	(\$M's)	(\$M's)	(\$M's)
<b>Base Revenues</b>					
Tuition	311	317	327	343	361
Grants	174	174	174	174	174
Other revenues	30	30	30	30	30
<b>Total revenue</b>	<b>515</b>	<b>521</b>	<b>531</b>	<b>547</b>	<b>565</b>
<b>Base Expenditures</b>					
Faculties, Student and Professional Services	312	322	335	350	367
Provisions and Contingencies	15	8	8	8	8
University Budgets	169	173	177	182	186
Base Available for Allocation	2	4	4	4	4
<b>Total Base Expenditures</b>	<b>498</b>	<b>507</b>	<b>524</b>	<b>544</b>	<b>565</b>
<b>Fiscal amount available</b>	<b>17</b>	<b>14</b>	<b>7</b>	<b>3</b>	<b>-</b>



## 8.0 Approval of the 2021-22 Operating Budget

<b>Carleton University 2021-2022 Proposed Operating Budget ( 000's )</b>			
	Approved Budget 2020-2021	<b>Proposed Budget 2021-2022</b>	Change from Prior Year Budget
<b><u>Income</u></b>			
Government Grant	172,483	<b>174,126</b>	1,643
Tuition Fees	302,062	<b>311,200</b>	9,138
Investment Income	8,250	<b>10,000</b>	1,750
Other Income	19,585	<b>19,528</b>	(57)
<b>Total Operating Income</b>	<b>502,380</b>	<b>514,854</b>	<b>12,474</b>
<b><u>Expenditures and Transfers</u></b>			
Faculty of Arts and Social Sciences	56,448	<b>57,550</b>	1,102
Faculty of Public Affairs	37,654	<b>37,765</b>	111
Sprott School of Business	13,480	<b>14,092</b>	612
Faculty of Science	42,854	<b>42,897</b>	43
Faculty of Engineering and Design	41,915	<b>42,503</b>	588
Provost and Vice-President (Academic)	15,327	<b>16,428</b>	1,101
Vice-President (Students and Enrolment)	26,869	<b>26,897</b>	28
Library	12,547	<b>11,915</b>	(632)
Vice-President (Research and International)	6,939	<b>5,814</b>	(1,125)
Vice-President (Finance and Administration)	41,819	<b>43,790</b>	1,971
Advancement	5,289	<b>5,438</b>	149
President	4,515	<b>5,200</b>	685
University Budgets and Transfers	163,549	<b>175,375</b>	11,826
Provisions and Contingencies	33,175	<b>29,190</b>	(3,985)
Net Appropriations	-		-
<b>Total Expenditure and Transfers</b>	<b>502,380</b>	<b>514,854</b>	<b>12,474</b>
<b>Net Result</b>	<b>-</b>	<b>-</b>	<b>-</b>

As shown above, the proposed 2021-22 Operating Budget meets the objective set out by the Board of Governors in the fall of 2020 that a balanced budget be developed.

The 2021-22 Operating Budget is therefore respectfully submitted to the Board of Governors.

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

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M. Piché  
Vice-President (Finance and Administration)

# **AGENDA ITEM**

## **5.3**

## BOARD OF GOVERNORS REPORT

<b>To:</b>	Board of Governors	<b>Date of Report:</b> 3/26/2021
<b>From:</b>	Vice-President (Finance and Administration)	<b>Date of Meeting:</b> 4/29/2021
<b>Subject:</b>	<b>Student Association and Miscellaneous Administrative Fees 2021/2022</b>	
<b>Responsible Portfolio:</b>	Vice-President (Finance and Administration)	

### 1.0 PURPOSE

For Approval    For Information    For Discussion

### 2.0 MOTION

On the recommendation of the Finance Committee, move to approve the 2021-2022 Student Association and Miscellaneous Administrative fees, as presented.

### 3.0 EXECUTIVE SUMMARY

Student Associations charge fees for their activities. Charges are reviewed annually. All of the fees presented for 2021-2022 are ongoing fees, which either remain unchanged, or have been increased subsequent to student referenda or by the ancillary fee committee. It is recommended that the proposed changes to the Student Association Fees for 2021-2022 be approved for implementation effective September 1, 2021.

In addition, Carleton's Miscellaneous Administrative fees have been increased by CPI or in tandem with the University of Ottawa. It is recommended that these fees be approved for implementation effective May 1, 2021.

### 4.0

#### INPUT FROM OTHER SOURCES

For the Student Association fees, the student associations and other university departments were consulted. Reference for the consumer price index was obtained from Statistics Canada; 1.4% is the annual average for the region of Ottawa-Gatineau, Ontario part.

Input on the Miscellaneous Administrative fees was sought from Carleton University's Business Office and the Registrar. The graduation application fee has been confirmed with the University of Ottawa.

### 5.0

#### ANALYSIS AND STRATEGIC ALIGNMENT

##### Undergraduate Students' Association Fee

The fees are increased annually by CPI in accordance with previous referenda, and/or by agreement with the CFS. The following changes, not related to CPI, are proposed for 2021-2022:

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 FundQi grant program will no longer be charged to undergraduate students. A referendum was held on March 8<sup>th</sup> and 9<sup>th</sup>, 2021, and the removal of the fee was passed.

Undergraduate students were asked:

*FundQi is a grant program currently in use by the Carleton University Student Association hereby referred to as CUSA. A successful referendum will make FundQi no longer an ancillary fee and students will no longer have access*

to the Carleton-specific pricing for the service. The cost is \$100 per year for a premium FundQi membership. Current students access FundQi premium for \$9.99 (subject only to be increased to adjust for inflation) per academic term for a total of \$20 per year but may opt out through the FundQi website should they choose to do so and should they be willing to give FundQi personal information for the reimbursement.

*Do you feel that FundQi should be removed as an ancillary fee for Carleton students?*

The results were as follows<sup>1</sup>:

Yes 4,134

No 370

Abstain 212

### **Graduate Students' Association Fee**

The fees are increased annually by CPI in accordance with previous referenda, or by agreement with the CFS. The following change, not related to CPI, is proposed for 2021-2022:

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

### **Other Compulsory Fees for CUSA and GSA**

In addition to association fees, Graduate and Undergraduate students pay fees for two ancillary operations: Athletics and Health Services, these fees were increased by CPI.

The student society fees, charged only to students within the respective faculty did not increase.

### **Miscellaneous Administrative Fees**

These fees are all existing administrative fees, which have been increased by the consumer price index, then rounded to the nearest \$0.25.

*Please see list of detailed fees in Appendix A and B.*

## **6.0 FINANCIAL IMPLICATIONS**

There is no financial implication for Carleton as the Student Associations fees serve to cover services that would otherwise not exist.

The Miscellaneous Administrative fees are part of the university's operating budget, but the proposed increases have a minor budgetary impact.

## **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 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 annual financial statements.

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<sup>1</sup> The referendum was conducted by OIRP on behalf of CUSA and had enough participants to meet the minimum requirement for the participation rate of 15% required per Carleton's Ancillary Fee Referendum protocol

For the Miscellaneous Administrative fees, the level increase is minor and as a result is not likely to have any significant risk. Fees charged to students must comply with the Province’s Tuition Framework and Ancillary Fee guidelines to the extent applicable.

**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. There are no issue identified for the Miscellaneous Administrative fees.

**9.0 OVERALL RISK MANAGEMENT ANALYSIS**

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

## Appendix A

FULL-TIME UNDERGRADUATE - Per Academic Year	2020-2021 Fee	PROPOSED INCREASE	INCREASE %	2021-2022 Fee
Students' Association	\$46.67	\$0.65	1.4%	\$47.32
Academic Support Peer Tutoring	\$2.58	\$0.04	1.4%	\$2.62
Health & Mental Wellness Initiatives	\$7.91	\$0.11	1.4%	\$8.02
Sexual Violence prevention	\$3.32	\$0.05	1.4%	\$3.37
Ombudsperson	\$3.84	\$0.05	1.4%	\$3.89
Student Life & Success Programs	\$14.12	\$0.20	1.4%	\$14.32
Student Opportunities & Spaces	\$14.90	\$0.21	1.4%	\$15.11
CKCU Radio	\$14.90	\$0.21	1.4%	\$15.11
OPIRG	\$7.72	\$0.11	1.4%	\$7.83
Accessibility Fund	\$6.14	\$0.09	1.4%	\$6.23
Clubs and Societies	\$7.46	\$0.10	1.4%	\$7.56
Foot Patrol	\$2.70	\$0.04	1.4%	\$2.74
WUSC	\$2.58	\$0.04	1.4%	\$2.62
Interval House	\$0.62	\$0.01	1.4%	\$0.63
Sock n' Buskin	\$0.92	\$0.01	1.4%	\$0.93
Garden Spot	\$2.44	\$0.03	1.4%	\$2.47
Charlatan	\$6.00	\$0.08	1.4%	\$6.08
Carleton Legal Project	\$4.50	\$0.00	0%	\$4.50
Debating Society	\$1.00	\$0.00	0%	\$1.00
Canadian Federation of Students (National & Provincial) <sup>2</sup>	\$17.45	\$0.13	0.717%	\$17.58
Carleton Engineers Without Borders	\$2.00	\$0.00	0%	\$2.00
CUSA/GSA Drug/Accident/Dental Ins. <sup>3</sup>	\$218.45	\$9.47	4%	\$227.92
University Centre Fee	\$54.40	\$0.76	1.4%	\$55.16
Millennium Village Fee	\$6.00	\$0.00	0.0%	\$6.00
UPass Fee <sup>4</sup>	\$436.06	\$10.90	2.5%	\$446.96
UPass Admin Fee	\$4.52	\$0.06	1.4%	\$4.58
World Food Program	\$2.26	\$0.03	1.4%	\$2.29
CUSERT	\$2.78	\$0.04	1.4%	\$2.82
CUSA Bursary Fund	\$2.00	\$0.00	0%	\$2.00
Career and Placement	\$10.60	\$0.15	1.4%	\$10.75
Carleton Academic Student Government	\$1.22	\$0.02	1.4%	\$1.24
	<b>\$861.38</b>	<b>\$22.93</b>	<b>2.66%</b>	<b>\$884.31</b>

<sup>2</sup> CFS and CFS-o increased by \$0.13 or 0.717% as per letter received by CFS

<sup>3</sup> Desjardins has yet to confirm their claim history calculations for the past year, final fee will be confirmed after this calculation

<sup>4</sup> Annual increase of 2.5% as per agreement between Carleton University and OC Transpo, passed by referendum held by CUSA in 2021

PART-TIME UNDERGRADUATE - Per Full Credit Course	20% of Full Time Fee <sup>5</sup>			
	2020-2021 Fee	PROPOSED INCREASE	INCREASE %	2021-2022 Fee
CKCU Radio	\$2.98	\$0.04	1.4%	\$3.02
OPIRG	\$1.54	\$0.02	1.4%	\$1.57
Accessibility Fund	\$1.22	\$0.02	1.4%	\$1.24
Clubs and Societies	\$1.49	\$0.02	1.4%	\$1.51
Foot Patrol	\$0.54	\$0.01	1.4%	\$0.55
WUSC	\$0.52	\$0.01	1.4%	\$0.52
Interval House	\$0.12	\$0.00	1.4%	\$0.13
Sock n' Buskin	\$0.18	\$0.00	1.4%	\$0.19
Garden Spot	\$0.49	\$0.01	1.4%	\$0.49
Carleton Legal Project	\$0.90	\$0.00	0.0%	\$0.90
Debating Society	\$0.20	\$0.00	0.0%	\$0.20
Canadian Federation of Students (National & Provincial) <sup>6</sup>	\$3.49	\$0.03	0.717%	\$3.52
Millennium Village Fee	\$1.20	\$0.00	0.0%	\$1.20
World Food Program	\$0.45	\$0.01	1.4%	\$0.46
CUSA Bursary Fund	\$0.40	\$0.00	0.0%	\$0.40
Student Association Fee	\$9.33	\$0.13	1.4%	\$9.46
Academic Support Peer Tutoring	\$0.52	\$0.01	1.4%	\$ 0.53
Health & Mental Wellness Initiatives	\$1.58	\$0.02	1.4%	\$ 1.60
Sexual Violence prevention	\$0.66	\$0.01	1.4%	\$ 0.67
Ombudsperson	\$0.77	\$0.01	1.4%	\$0.78
Student Life & Success Programs	\$2.82	\$0.04	1.4%	\$2.86
Student Opportunities & Spaces	\$2.98	\$0.04	1.4%	\$3.02
Charlatan	\$1.20	\$0.02	1.4%	\$1.22
Carleton Academic Student Government	\$0.24	\$0.00	1.4%	\$0.25
Career & Placement	\$2.12	\$0.03	1.4%	\$2.15
CUSERT	\$0.56	\$0.01	1.4%	\$0.56
University Centre	\$10.88	\$0.15	1.4%	\$11.03
	<b>\$40.06</b>	<b>\$0.50</b>	<b>1.25%</b>	<b>\$40.56</b>

<sup>5</sup> 20% of full-time rate; excludes UPass, Health & Dental

<sup>6</sup> CFS and CFS-O increased by \$0.03 or 0.717% as per letter received by CFS

<b>FULL-TIME GRADUATE</b>		<b>2020-2021</b>	<b>PROPOSED</b>	<b>INCREASE</b>	<b>2021-</b>
- Per Term		<b>Fee</b>	<b>INCREASE</b>	<b>%</b>	<b>2022 Fee</b>
Graduate Students' Association		\$94.16	\$1.32	1.4%	\$95.48
Academic Support	\$7.14	\$0.10		1.4%	\$7.24
Career Services	\$6.12	\$0.09		1.4%	\$6.21
Health & Wellness Programming	\$7.55	\$0.11		1.4%	\$7.66
Ombuds Services Fee	\$1.90	\$0.03		1.4%	\$1.93
Unicentre Fee	\$12.53	\$0.18		1.4%	\$12.71
Community Engagement & Student Advocacy	\$17.99	\$0.25		1.4%	\$18.24
Grants, Scholarships, & Awards	\$34.30	\$0.48		1.4%	\$34.78
Support Centres	\$6.63	\$0.09		1.4%	\$6.72
GSA Capital Development Fund		\$3.00	\$0.00	0%	\$3.00
GSA Accessibility Fund		\$3.00	\$0.00	0%	\$3.00
GSA Sexual Assault Centre Fund		\$1.16	\$0.02	1.4%	\$1.18
Canadian Federation of Students <sup>7</sup>		\$8.73	\$0.06	0.717%	\$8.79
OPIRG		\$3.78	\$0.05	1.4%	\$3.84
WUSC		\$0.60	\$0.00	0%	\$0.60
Foot Patrol		\$0.44	\$0.01	1.4%	\$0.45
Charlatan		\$2.01	\$0.03	1.4%	\$2.04
CKCU Radio		\$3.69	\$0.05	1.4%	\$3.74
Garden Spot		\$1.22	\$0.02	1.4%	\$1.24
The Leveller		\$1.80	\$0.03	1.4%	\$1.83
U-Pass		\$218.03	\$5.45	2.5%	\$223.48
U-Pass Admin Fee (per year)		\$4.52	\$0.06	1.4%	\$4.58
Career and Placement		\$3.48	\$0.05	1.4%	\$3.53
GSA Health & Dental (per year)		\$410.89	\$0.00	0.0%	\$410.89
		<b>\$760.51</b>	<b>\$7.14</b>	<b>0.94%</b>	<b>\$767.65</b>

#### **PART-TIME GRADUATE**

30% of full-time fee <sup>8</sup>

- Per Term

	<b>\$38.12</b>	<b>\$0.49</b>	<b>1.3%</b>	<b>\$38.61</b>
--	----------------	---------------	-------------	----------------

<sup>7</sup> CFS increased by \$0.06 or 0.717% as per letter received by CFS

<sup>8</sup> Excluding UPass, GSA Health & Dental

### Other Compulsory Fees for CUSA and GSA

	2020/2021 Fee	Proposed Increase	% Increase	2021/2022 Fee	2020/2021 Fee	Proposed Increase	% Increase	2021/2022 Fee
<b>Undergraduate</b>	\$102.30	\$1.43	1.4%	\$103.73	\$ 34.41	\$0.48	1.4%	\$34.89
<b>Graduate</b>	\$92.10	\$1.29	1.4%	\$93.39	\$ 34.41	\$0.48	1.4%	\$34.89

### 2021-2022 Student Society Fee (per term)<sup>9</sup>

#### 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

<sup>9</sup> Only charge to students within the respective faculty

## Appendix B

### Miscellaneous Administrative Fees

Fee	2020-2021	2021-2022 Proposed	Increase <sup>10</sup>	Percentage
Omnibus Fee	\$41.75	\$42.25	\$0.50	1.2%
Supplement Fees	\$75.25	\$76.25	\$1.00	1.3%
Examination Charges (in Canada)	\$87.00	\$88.25	\$1.25	1.4%
Examination Charges (outside Canada)	\$156.25	\$158.50	\$2.25	1.4%
Challenge for Credit	\$224.00	\$227.25	\$3.25	1.5%
Returned Payment Charge	\$36.00	\$36.50	\$0.50	1.4%
Late Payment Charges	\$108.75	\$110.25	\$1.50	1.4%
Grad Application Fee <sup>11</sup>	\$110.00	\$110.00	\$0.00	0.0%
Reinstatement Charge	\$75.25	\$76.25	\$1.00	1.3%
Deferred Admission Fee	\$48.25	\$49.00	\$0.75	1.6%
Letters of Permission	\$41.50	\$42.00	\$0.50	1.2%
Display Diplomas	\$124.00	\$125.75	\$1.75	1.4%
Replacement Diploma	\$87.00	\$88.25	\$1.25	1.4%
New Special Students Documentation	\$55.00	\$55.75	\$0.75	1.4%
Leave of Absence	\$75.25	\$76.25	\$1.00	1.3%
Admission Processing Charge	\$68.50	\$69.50	\$1.00	1.5%
Extension	\$75.25	\$76.25	\$1.00	1.3%
Co-op & Career Services fee	\$413.50	\$419.25	\$5.75	1.4%

<sup>10</sup> All fees increased by inflationary increase of 1.4% and rounded to the nearest \$0.25

<sup>11</sup> In Tandem with the University of Ottawa

# **AGENDA ITEM**

## **6.1**

# Planning for Fall 2021

Carleton University Scenario Planning  
Working Group



**Carleton**  
UNIVERSITY



# The past two years

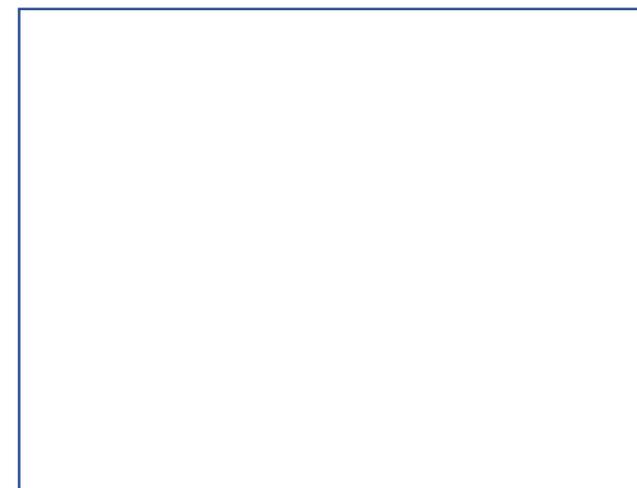


Fall 2019

Fall 2020



Fall 2021



# Timeframes for the timetable

Date	Activity
April 1	Units send planned courses & delivery mode to Scheduling
May 1	Contract instructor openings must be posted
May 10	Draft timetable to departments for review
May 24	Departmental changes due to Scheduling
May 31	Timetable available to students
June 25	Registration begins

# Carleton University Scenario Planning (CUSP) Working Group

## Mandate:

To look at all options for a successful Fall term in light of the current public health crisis.

## Membership

President (Ex officio)

Provost (Ex officio)

Deputy Provost (Chair)

AVP, Teaching & Learning

AVP, Strat Init. & Operations, Research

AVP, Enrolment Management

AVP, Institutional Research & Planning

Dean, FASS

Dean, Science

Dean, FGPA

Assoc Registrar, Scheduling & Systems

Controller

COU Academic Colleague

Planning Manager

# Principles to guide decision-making

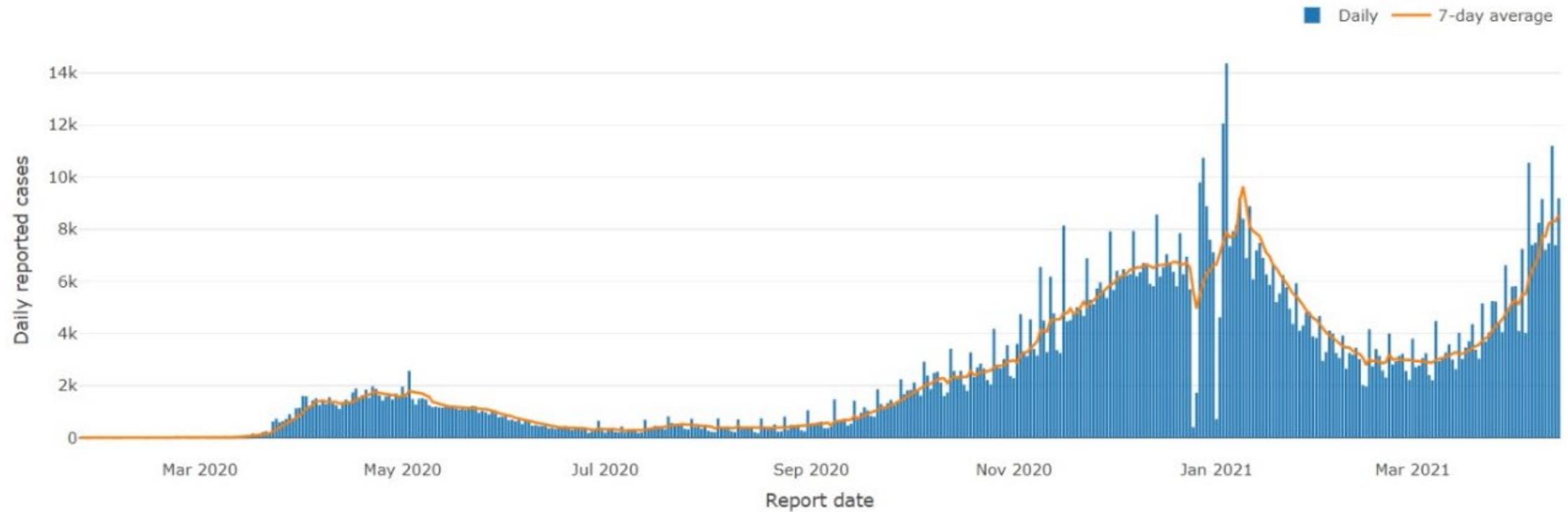
- 1. We will place the health and wellbeing of students, staff, and faculty above all other considerations.**
2. We will continue to provide the best possible learning experience for our students throughout the pandemic.
3. Decisions regarding modes of learning within given constraints will be driven by learning outcomes.
4. Student support services will continue to be delivered in accordance with our Service Excellence standards.
5. Equity across student groups will be a key factor in decisions.
6. Research activity will be maximized to the extent possible.
7. We will foster collaboration within the university and with peer institutions to create and share academic programming where possible to enhance academic quality.
8. Decisions will support the long-term success of the university.
9. We will provide as much certainty as possible to students, faculty and staff by making and communicating decisions as early as possible.

# Key factors to consider in planning

- COVID case trends
- Vaccination progress
- Public health restrictions
- Travel restrictions
- Students' willingness to continue online education

# COVID case trends

Daily reported cases & 7-day rolling average in Canada (n = 1,094,749)



# Vaccines approved in Canada

AstraZeneca 

Vaxzevria (formerly  
COVID-19 Vaccine  
AstraZeneca)

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76%, 15 days after second dose

 Pfizer

BNT162b2

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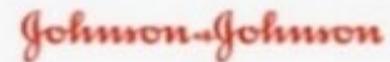
95%, 28 days after second dose  
(94% in real-world study, Israel)



mRNA-1273

---

94%, 14 days after second dose



Janssen COVID-19  
Vaccine

---

66.9%, from 14 days after the  
shot

# Vaccination progress

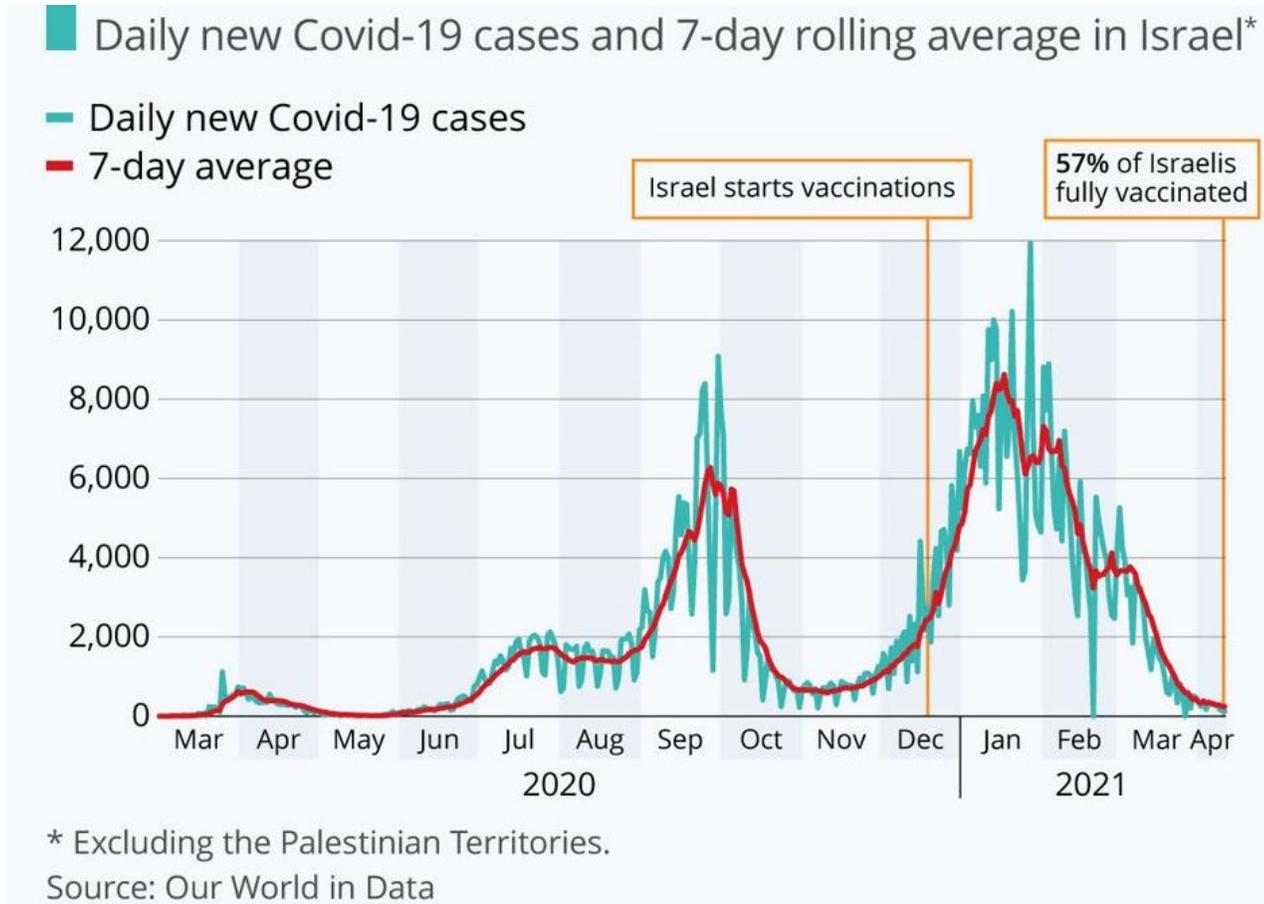
- Vaccines are effective – particularly at reducing the worst outcomes (hospitalization, ICU, death)
- Immune response after one dose of vaccine is substantial
- Extending the time between vaccine doses has been deemed safe and will allow us to vaccinate people more quickly
- Vaccine delivery is ramping up
- The federal government expects to receive enough vaccine for every Canadian to receive a single dose by the end of June\*

\*As of April 16, 2021

# Vaccination – the UK experience

- The UK has pursued a strategy of giving a single dose to as many people as possible
- As of March 19, they had administered at least 1 dose to 38% of adults
- As a result, cases in the UK fell by over 90%
- This is despite the more contagious UK variant now being the dominant strain

# Vaccination and Cases in Israel



# Public health restrictions

- Have been essential in reducing virus spread and demands on the health care system
- Entail significant economic and social costs (e.g. mental health)
- Adjustments to Ontario public health restrictions are based on:
  - Case counts
  - Health system capacity (e.g. ICU, ventilators)
  - Public health system capacity (e.g. testing, tracing)
- As vaccination proceeds, cases will fall and restrictions will eventually be lifted
- The timeframe for the removal of public health restrictions is uncertain and will lag vaccination progress to some degree

# Travel restrictions

- Approximately 15% of Carleton students are international
- International student mobility is currently inhibited by significant visa processing delays, e.g.
  - China 32 weeks\*
  - India 12 weeks\*
- Other challenges affecting travel include testing and quarantine requirements and cost, plus possible vaccination issues
- Consequently, some new (and possibly returning) international students may not be able to come to Canada

\*Excluding biometrics.

# Students' willingness to continue online education

65% TOTAL  
 65% Undergrads  
 64% Grads

are willing to keep taking online courses until it is considered safe to resume in-person courses

	TOTAL STUDENTS	Undergrads	Grads
(7) Very willing	38%	38%	37%
(6,5)	27%	27%	27%
(4)	18%	18%	19%
(3,2)	12%	12%	9%
(1) Not willing at all	5%	4%	7%
Don't know	1%	1%	<1%

Would consider continuing to take online after the pandemic is over:

	TOTAL STUDENTS	Undergrads	Grads
Large introductory classes of 500 or more students	31	32	23
Classes with 100 students or more	26	26	23
Classes with 20-100 students	21	21	21
Seminar type classes with up to 20 students	13	13	16
Classes that do not have labs	27	28	20
Classes that are largely reading assignments	28	30	23
Other	2	2	2
<b>I do not want to take any type of classes online</b>	18	18	20
Don't know/not sure	7	7	8

Q21. Overall, how willing are you to keep taking online courses instead of in-person ones until it is considered safe for your university to resume in-person courses?  
 Q22. Once the COVID-19 pandemic is over and it is safe to resume in-person classes, which of the following would you consider taking online if it is an option?  
 Base: Those who have online lectures, and/or online seminars/tutorials at Q13 (TOTAL STUDENTS n=1295; Undergrads n=1038; Grads n=257)

# Most likely scenario

## Fall 2021

- Increasing rates of vaccination will lead to:
  - Reductions in cases, hospitalizations and deaths
  - Eventually allow for a lifting of public health restrictions
- This will allow for substantial on-campus activity
- Returning to campus may be difficult for international (and some domestic) students, therefore some online options will be needed for these students

## Winter 2022

- Vaccination programs should be complete and restrictions should be lifted
- If so, this will allow for a full return to campus
- Enhanced online options will still be needed for students who are not in Ottawa

# Guidelines for academic program planning Fall 2021

- Maximize F2F learning opportunities for students
- Provide some F2F learning opportunities at all levels of every program
- Provide some online programming options for those students who cannot come to campus (not necessarily full programming options)
- Prepare to implement physical distancing without redoing the course schedule
- Make strategic decisions regarding the mode of course delivery based on program needs and sound pedagogy
- Provide individual faculty and staff with reasonable accommodations where needed for medical or statutory grounds

# Capacity constraints

- If physical distancing guidelines are in place, classroom capacity will be reduced
- Even if physical distancing requirements are relaxed, people may not feel comfortable in close contact

## Recommendations:

- Plan for reduced classroom occupancy in line with public health restrictions
- Set maximum capacity for F2F sections of 60 people

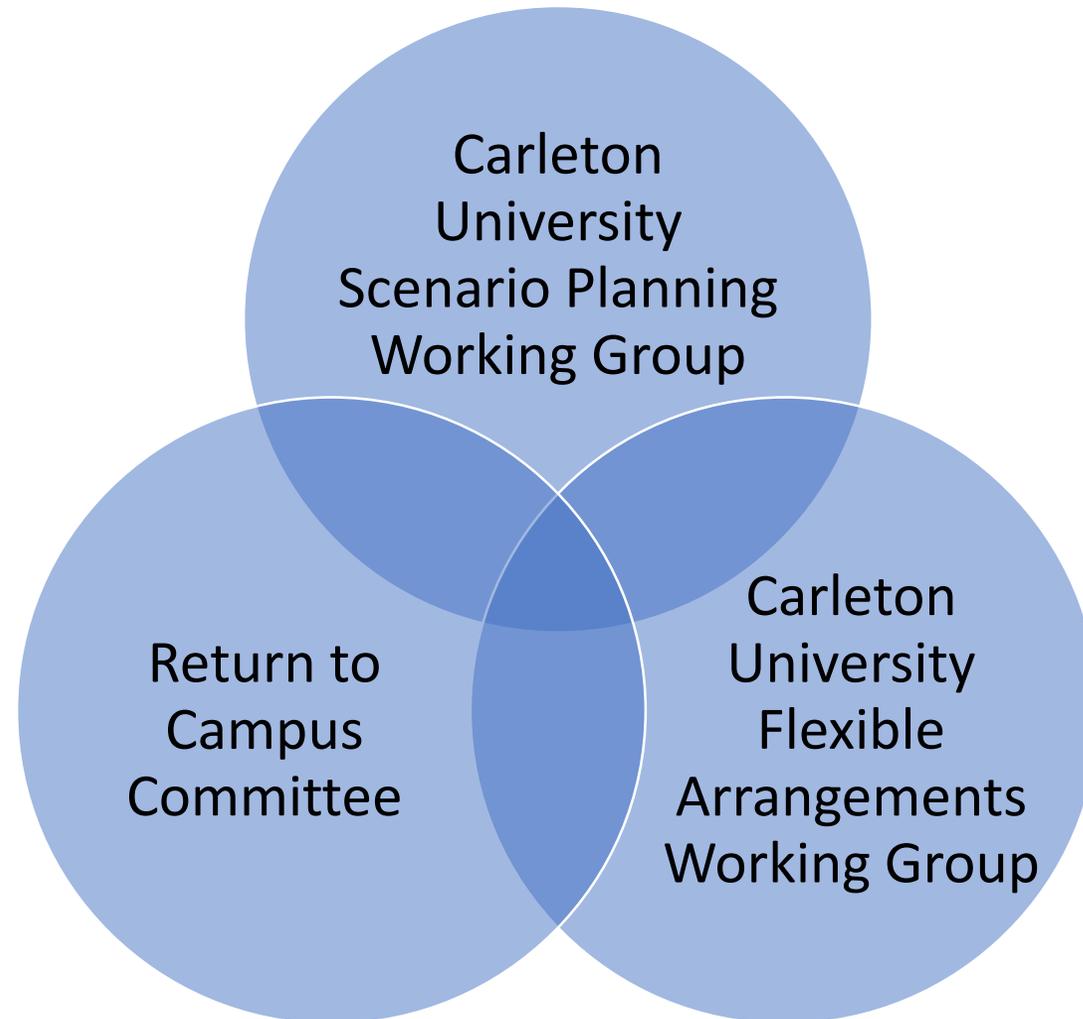
# Prioritizing courses for F2F delivery: Major considerations

- Learning outcomes
  - Experiential learning, lab components, skill development
  - Centrality to program objectives
- Pedagogy
  - High impact practices, graduate programs
- Options for students
  - For each program and year level, at least 1-2 courses/sections that are F2F and 1-2 that are online

# Accommodations for faculty and staff

- Faculty and staff members who are unable to return to campus due to medical or unusual family reasons should speak to their manager about possible accommodations
- Guidelines are being developed to support:
  - Transition back to campus in the fall, and
  - Flexible work arrangements post-pandemic.
- In the scheduling of courses, Chair and Directors should accommodate faculty preferences for online or F2F where these can be aligned with program delivery requirements

# The planning ecosystem



# Return to Campus: Assumptions and Principles

- Community Health & Safety is **the primary concern and guiding principle**
- Return to campus will be phased and must abide by Provincial Government Orders (*still in effect*) and the Occupational Health Safety Act
- Required Staff will return in phases prior to the return of students and classes, to prepare offices, buildings and other areas for the return to campus
- Areas which should return in priority sequence are:
  - Core Services (already on campus – FMP, Campus Safety, Campus Services, H&C, Residence, Athletics)
  - Areas which support labs and research, including library (already on campus)
  - Research (for those approved to be on campus)
  - Areas which support students (e.g. Registrar, Financial Aid, Faculty of Graduate Studies, Academic Management, Student Accounts, Academic Departments etc.) and TLS
  - Admin and Governance Areas (e.g. ITS, Financial Services, Human Resources, Business Office (excluding Student Accounts), University Secretariat, etc.) and other areas as required

# Return to Campus Responsibilities

RTC	Actions
1. Preparation of Buildings, Common areas, tunnels	<ul style="list-style-type: none"><li>• Cleaning protocols, supplies and staffing</li><li>• Screening protocols and building access issues</li><li>• Symptom reporting, contact tracing and isolation requirements</li><li>• Physical Distancing and Room Capacity</li><li>• Mask and sanitizer use</li><li>• Signage, crowd control, barriers and traffic flow</li><li>• Remote work where appropriate</li><li>• Non-academic Space utilization</li></ul>
2. Supplies	<ul style="list-style-type: none"><li>• Procurement of necessary supplies for departments</li><li>• Signage and directional markers</li><li>• Cleaning Supplies</li><li>• Plexiglass barriers and determination of where required</li></ul>
3. Vaccinations	<ul style="list-style-type: none"><li>• Working with OPH to develop strategy for Carleton community and community at large (possible clinic)</li><li>• Developing vaccination policy and guidelines based on legal opinion (being worked on) and government recommendations</li></ul>

# Departmental Responsibilities

Departments	Actions
1. Develop or Update Return to Campus Plan	<ul style="list-style-type: none"><li>• Based on Recovery Assessment Questionnaire and Requirement and Protocol document, prepare or update Return to Campus Plan</li><li>• Submit Plan (or revised plan) to RTC for review</li><li>• RTC will contact departments that need to submit/revise plans</li></ul>
2. Review staffing requirements and schedules	<ul style="list-style-type: none"><li>• Based on space capacity and resources, assess staff capacity and prepare schedules</li><li>• Consider desk location, physical distancing requirements and traffic flow</li><li>• Consider any barrier needs for frontline services</li></ul>
3. Order supplies	<ul style="list-style-type: none"><li>• Cleaning Supplies</li><li>• Plexiglass barriers</li><li>• Signage</li><li>• Personal care kits</li></ul> <p><b>From eShop</b></p>

# CU Flexible Arrangements Working Group (CUFA)

- **Membership:** from across university; working in partnership with the Return to Campus committee and CUSP
- **Focus:** gradual return to campus & post-pandemic flexible arrangements
- **Goal:** to develop flexible working arrangement frameworks for administrative staff and managers
- **Guiding Principles:** prioritize organizational needs, offer departmental guidelines for decision-making & provide some flexibility for staff
- **Consultations:** with key stakeholders in March and April
- **Timeline:** Frameworks to be ready in May 2021

# **AGENDA ITEM**

**6.2**

## BOARD OF GOVERNORS REPORT

<b>To:</b>	Board of Governors	<b>Date of Report:</b>	15 April 2021
<b>From:</b>	Vice-President (Students and Enrolment)	<b>Date of Meeting:</b>	29 April 2021
<b>Subject:</b>	<b>Coordinated Accessibility Strategy Annual Report</b>		
<b>Responsible</b>	Vice-President (Students and Enrolment)		
<b>Portfolio:</b>			

### 1.0 PURPOSE

For Approval    For Information    For Discussion

### 2.0 MOTION

This report is for information only.

### 3.0 EXECUTIVE SUMMARY

In October 2018, a collaborative process to develop Carleton's Coordinated Accessibility Strategy (CAS) began. Consultations with faculty, staff, and students took place over 18 months, which included individual interviews, meetings with key stakeholder groups, open feedback sessions, and online feedback that included email and anonymous form submissions. A cross-representational Steering Committee under the guidance of the four Vice-Presidents led the development of the strategy. The consultations with the Carleton community resulted in identifying seven areas of focus – the foundation of the CAS. The CAS is intended to not only coordinate the many accessibility services, programs, and initiatives that already exist but also continue to inspire a strong campus culture of accessibility and inclusion. The CAS was launched in 2020 after being presented to the Board of Governors at its meeting on June 2, 2020. Although the implementation of the CAS over the past year has been focused on capacity building and establishing the governance structure and various working groups, we have had several highlights for each of the areas of focus outlined in CAS. This annual report is respectfully presented to the Board of Governors as the CAS's ongoing commitment of transparency to the Carleton community.

### 4.0 INPUT FROM OTHER SOURCES

The Coordinated Accessibility Strategy (CAS) falls under the purview of the READ Initiative. However, the ongoing implementation of the recommendations in the CAS could only occur through the many collaborations with faculty, staff and students from across the university. This Annual Report was shared with all Vice-Presidents for review and comment.

### 5.0 ANALYSIS AND STRATEGIC ALIGNMENT

As stated in Carleton's Strategic Integrated Plan under Strive for Wellness, Strive for Sustainability, we continue to strive to make our campus, country and 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. Leveraging the new Coordinated Accessibility Strategy (CAS) and leadership in the Canadian Accessibility Network (CAN), as well as other initiatives and programs across campus, Carleton will advance accessibility across research, training, employment, policy, and community engagement.

Although the past year has been focused on capacity building and establishing the governance structure and various working groups need to implement the recommendations of the CAS, we have had several highlights for each of its areas of focus. As noted in the CAS, this annual report has been created to be shared with the Carleton community to cover the committee's activities, including a progress update related to Strategy objectives and recommendations. This annual report is respectfully presented to the Board of Governors for information.

## 6.0 FINANCIAL IMPLICATIONS

Some of the initiatives underway rely on fiscal funding and ongoing financial support.

## 7.0 RISK, LEGAL AND COMPLIANCE ASSESSMENT

There are no risks or legal implications with report. However, failure to implement the report and any actions contained therein could constitute reputational risk. The risk is mitigated by the actions being taken to implement the strategy and the communication plan to highlight the various initiatives.

## 8.0 REPUTATIONAL IMPLICATIONS AND COMMUNICATIONS STRATEGY

The past year has been focused on capacity building and establishing the governance structure and various working groups needed to implement the recommendations of the Coordinated Accessibility Strategy (CAS). As part of the committee's work next year, we will develop a coordinated communications plan to highlight the various accessibility-related initiatives as part of the Coordinate Accessibility Strategy. We will also be updating the university's accessibility website that will include the results of an extensive environmental scan at Carleton and will act as the 'front door' for accessibility at Carleton.

It is essential that we continue to implement, evaluate and communicate the recommendations of the CAS which impacts Carleton's reputation as being Canada's most accessible university.

## 9.0 OVERALL RISK MANAGEMENT ANALYSIS

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

# *COORDINATED ACCESSIBILITY STRATEGY*

Annual Report 2020-2021

Presented to the Board of Governors

Prepared by Research, Education, Accessibility and Design (READ)  
Initiative: April 29, 2021



**READ Initiative**  
Research Education Accessibility & Design  
**CARLETON UNIVERSITY**

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## From the desk of...

No doubt there have been significant events in society over the past year, and we continue to find ourselves in the face of various adversities. From a global pandemic to racial reckoning, the spotlight has begun to illuminate structural and system inequities and inequalities. We are moving from inclusion as a concept to being a verb, an action. Those working as part of Carleton's Coordinated Accessibility Strategy recognize their privilege of supporting a movement towards social good. We are humbled to work at an institution that has committed resources to a more equitable and inclusive campus, namely with four guideposts to lead us and keep us accountable: Strategic Integrated Plan; Coordinated Accessibility Strategy; Kinàmagawin; and Equity, Diversity and Inclusion Action Plan.

In the eight months since the launch of the Coordinated Accessibility Strategy (CAS), most implementation efforts have focused on capacity building, primarily outside of the student services portfolio and building a common set of values among stakeholders. Establishing common language and footing is an essential and purposeful step to expand our thinking beyond portfolios to encompass Carleton as one community. In the following pages, we share the highlights for each of the focus areas outlined in CAS with recognition of the working groups' dedicated efforts to reaching out and across organizational units. It is important to review this report through the lens of interlocking components, where the highlights reported in one portfolio ripple across the continuum of the strategy.

As someone who identifies as having both visible and non-visible disabilities, this is more than a work assignment for me. It is a chance to become more integrated in and supported by Carleton. It also provides a platform for me to channel my dual passions of design and social good in a manner that gives back to a community from which I have benefited greatly.

On behalf of the implementation team and the working groups, thank you for your continued advocacy and leadership for a more accessible world.

To our continued success,



Cathy Malcolm Edwards  
*CAS Implementation Lead*

## Executive Summary

In October 2018, a collaborative process to develop Carleton's Coordinated Accessibility Strategy (CAS) began. Consultations with faculty, staff, and students took place over 18 months, which included individual interviews, meetings with key stakeholder groups, open feedback sessions, and online feedback that included email and anonymous form submissions. A cross-representational Steering Committee under the guidance of the four Vice-Presidents led the development of the strategy. The consultations with the Carleton community resulted in identifying seven areas of focus – the foundation of the CAS. The CAS is intended to not only coordinate the many accessibility services, programs, and initiatives that already exist but also continue to inspire a strong campus culture of accessibility and inclusion. The CAS was launched in 2020 after being presented to the Board of Governors at its meeting on June 2, 2020. Although the implementation of the CAS over the past year has been focused on capacity building and establishing the governance structure and various working groups, we have had several highlights for each of the areas of focus outlined in CAS. This annual report is respectfully presented to the Board of Governors as the CAS's ongoing commitment of transparency to the Carleton community.

## Context

Carleton University is a place where we live, work, and play. Our community and the Board of Governors have identified accessibility as critical to our success at the University. The following guiding principles have been our focus:

1. We collectively support accessibility for those with visible and non-visible disabilities, including cognitive, developmental, intellectual, medical, mental, physical, and sensory disabilities.
2. We commit to being flexible to support each individual's fullest participation in activities and society in any place, space, item or service, whether physical or virtual.
3. We recognize and work to address attitudinal and systemic barriers to inclusion.

In 2018, Carleton undertook a collaborative process for the development of its first Coordinated Accessibility Strategy (CAS) to further strengthen our commitment to accessibility and build on our culture of accessibility while working towards a more accessible and inclusive world. After extensive consultations with the community, where an emphasis was placed on listening to and reflecting on experiences, seven areas of focus emerged (see [Governance for more details](#)), each with a set of objectives and recommendations. Collectively, these serve as pathways to a more accessible campus for all.

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*“If we are to decrease stigma, we must increase and improve our service.”*  
*(Member of the Carleton Community)*

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Continuing with a human-centric approach for the implementation of the CAS, the first step of the process was to understand the context in which the strategy exists and in which it would be implemented. Over the course of the Fall 2020 term, and with the help of a talented co-op student, comprehensive stakeholder maps were generated for each of the areas of focus. This was a necessary step to help map the complexity and extent of stakeholders involved in campus, thus, to ensure a breadth of voices would be reflected in actions taken. Parallel to that, a governance plan with suggested membership was drafted, and subsequently approved by Senior Leadership (see [Governance](#) for more details).

While the CAS provides a comprehensive set of recommendations, it is purposely left broad enough to remain flexible and agile to the needs of the community through the implementation phase. In lieu of a specific roadmap, the CAS Implementation Lead embraced the ‘listening and reflecting’ approach used in the development phase to understand better the concerns and needs of Carleton community members. From there, an implementation plan emerged. It was anchored in a co-creation approach, and at its foundation, would involve intensive burst of larger group activity as we co-designed and iteratively created action plans.

The COVID-19 pandemic has proved to be a significant challenge as the needs and resources of the community are more immediately focused on the response to the pandemic. The implementation team (a partnership between READ and the Office of Quality Initiatives – see [Coordination and Leadership](#) for more information) adjusted and combed through all existing data sources to create a data set reflective of the Carleton community and sorted for each area. The data, along with the stakeholder maps, provides a snapshot of accessibility needs within Carleton’s landscape and directly informs the work now being done. Each small working group is being led by a facilitator/coach who can tailor support based on the direction the team wants to move in while guiding them towards a unified purpose of action plans that will raise the standard of accessibility at Carleton within the next 12-18 months. The CAS Council will have its first meeting in April 2021. Its initial focus is on the 3–5-year horizon, envisioning what accessibility looks like down the road. This is an important exercise, particularly, in recognizing that accessibility is not a static state, but instead a progressive mindset reflected in both our actions and our culture.

## **Governance**

The Coordinated Accessibility Strategy (CAS) is anchored within the Research, Education, Accessibility and Design (READ) Initiative and accountable to the four Vice-Presidents of Student and Enrolment, Research and International, Academic, and Finance and Administration. It has an established yet flexible governance structure that supports advancement in each of the seven areas of focus in the CAS. Executive Champions, Action Plan Leaders, other leaders at Carleton (including students), and community members make up the CAS Council. The CAS Council supports the continued strategic implementation and development of accessibility as part of Carleton's overall culture and will primarily focus on the next 3-5 years of implementation. They will also work to ensure policies, guidelines, and best

practices are in place and well communicated. Each member of the CAS Council is committed as a champion and advocates accessibility at Carleton and beyond.

Executive Champions and Action Plan Leaders make up working groups in each of the areas of focus that create recommendations for action plans to be implemented over the next 12-18 months. The working groups are developing plans that reflect the diversity of voices and initiatives on campus, including outside the individual, organizational divisions (where appropriate). The groups are as follows:

1. Coordination and leadership
  - ⇒ Adrian Chan (Professor, Systems and Engineering)
  - ⇒ Mandi Crespo (Senior Quality Advisor, Office Quality Initiatives)
  - ⇒ Jessie Gunnell (Research and Development Officer, READ)
  - ⇒ Cathy Malcolm Edwards (CAS Implementation Lead, READ)
  - ⇒ Kaylee Mask (Senior Quality Advisor, Office of Quality Initiatives)
  - ⇒ Boris Vukovic (Director, READ)
2. Education and training
  - ⇒ Dwight Deugo (Vice-Provost and AVP, Academic)
  - ⇒ Jessie Gunnell (Research and Development Officer, READ)
  - ⇒ Elspeth McCulloch (Assistant Director, Digital Learning, Teaching and Learning Services)
3. Information and communication
  - ⇒ Marc Dabros (Chief Information Officer, AVP, Information Technology Services)
  - ⇒ Cameron Metcalf (Head, Library Technology Services, Library)
  - ⇒ Ben Schmidt (Manager, IT Strategic Initiatives, Information Technology Services)
4. Physical Campus
  - ⇒ Gary Nower (AVP, Facilities, Management, and Planning)
  - ⇒ Matthew Cole (Executive Director, Carleton University/Algonquin College Attendant Services)
  - ⇒ Dean Mellway (Special Advisor, READ and Facilities Management and Planning)
5. Employment and employee support
  - ⇒ Cindy Taylor (AVP, Human Resources)
  - ⇒ William Onate (Manager, Total Rewards, Human Resources)
  - ⇒ Norah Vollmer (Manager, Faculty Affairs)
6. Student support services
  - ⇒ Larry McCloskey (Director, Paul Menton Centre for Students with Disabilities)
  - ⇒ Paul Keen (Associate Dean, Student & Postdoctoral Affairs, Faculty of Graduate and Postdoctoral Affairs)

⇒ Somei Tam (Senior Disabilities Advisor, Paul Menton Centre for Students with Disabilities)

#### 7. Research and development

⇒ Rafik Goubran (Vice-President, Research and International)

⇒ Tara Connolly (Assistant Director, Research, READ)

⇒ Andrea Lawrance (Director, Carleton Office for Research Initiatives and Services)

## Reporting Back - Highlights of Progress in the Areas of Focus

Over the past year, there is renewed attention on equity, diversity, and inclusion in our society. Our campus community, including people with disabilities, are facing new challenges but also opportunities. Once again, we are reminded of the importance of the work we are doing to grow Carleton's culture of accessibility. Even with the pivot to a digital environment and remote work, the implementation of the Coordinated Accessibility Strategy (CAS) continues to make progress. The following section provides an overview of the exceptional work led by 25 individuals on campus as well as those supporting them during what has been (and continues to be) exceptional times. Note that each highlight and next step is mapped to a recommendation from the CAS. Please see [Appendix 1](#), which contains a table of all of the objectives and recommendations as outlined in the CAS per area, for more details.

### 1. Coordination and Leadership

Carleton University's commitment to creating an accessible campus can be traced back to its earliest years. Since then, the evolution of programs such as Attendant Services and the Paul Menton Centre for Students with Disabilities (PMC) have elevated Carleton's reputation as an accessible campus. In 2012, the Research, Education, Accessibility and Design (READ) Initiative was launched out of the Paul Menton Centre for Students with Disabilities - a campus-wide leadership initiative dedicated to accessibility and inclusion of persons with disabilities at Carleton and in the local, national, and global community. The initiative is just one way that Carleton continues to promote an increased emphasis on areas of disability, design, accessibility, and inclusion.

#### **Highlights:**

Building on the establishment of READ as a formal unit within the Students and Enrolment division and in collaboration with all Vice-Presidents, Senior management has continued to support capacity building within READ and its efforts by fiscally funding seven positions. The investment has allowed READ to lead various research and training projects on and off campus that keep the unit's leadership in local to national communities and dialogues. More details on funding received is available in the Research and Development section. ([Recommendation B](#))

The CAS Council has representation from across the Carleton community. Its focus is on stewardship of the accessibility mandate at Carleton over a longer term (3-5 years horizon). An

[executive champion](#) leads each implementation group, with two additional leaders and a facilitator from READ or Office of Quality Initiatives. ([Recommendation C](#))

Carleton created and launched the Canadian Accessibility Network (CAN), with READ as the National Office. Suzanne Blanchard, Vice-President (Students and Enrolment) is Chair of the Governing Council and Rafik Goubran is Chair of the Research, Design & Innovation working group. Carleton continues to lead CAN and in just over one year, the membership represents more than 60 individuals from across the country recruited from various sectors, geographical locations, disciplines and lived experiences of disability. ([Recommendation F](#))

READ hired a full-time position to lead the implementation of the strategy and created intra-institutional partnerships with Facilities, Management and Planning and the Office of Quality Initiatives to provide additional supports to achieve this undertaking. READ is also in communication with the leads of companion strategies, including the Student Mental Health Framework 2.0; Equity, Diversity, and Inclusion Action Plan; and Kinàmàgawin to highlight areas of synergy, particularly as it pertains to the continuing development of the Carleton culture. ([Recommendation G](#))

## 2. Education and Training

Over the years, Carleton has committed to better practices as well as mobilizing knowledge, skills and attitudes. In both formal academic programs and professional development training environments, the goal remains to educate instructors and the student population on how to make campus and campus life accessible academically and physically. This working group builds on established practices on campus (e.g., Accessibility for Ontarians with Disabilities Act (AODA) training, Universal Design for Learning, web accessibility workshops).

### **Highlights:**

The education and training working group has tabled a recommendation that would require academic units need to assess and discuss equity, diversity, inclusion and accessibility as part of the cyclical program review (every seven years). ([Recommendation F](#))

READ has been actively pursuing opportunities to increase awareness, including the launch of a pilot initiative in partnership with [Healthy Workplace](#) focused on non-visible disabilities (e.g., neurodiversity). ([Recommendation B](#))

Teaching and Learning Services and READ have partnered with the NSERC CREATE Research, Education, Accessibility, Design and Innovation (READi) project and has a team of student researchers exploring accessible teaching and learning experiences with the new Learning Management System – Brightspace. ([Recommendations B and D](#))

### 3. Information and Communications

For many, the COVID-19 pandemic illuminates the realization that Carleton operates in two environments, one which is physical and one that is virtual. Never before has there been such collective recognition for the role technologies of all types have in providing access to information via websites, social media, services and events. This is reflected in Information and Technology Services' (ITS) leadership in the creation of Carleton's first digital strategy. Not only will the digital strategy help inform the direction of this working group upon its completion but will support Carleton's Strategic Integrated Plan and its companion strategies, including the CAS.

#### **Highlights:**

The working group is exploring a possible mentorship opportunity with leaders in workplace accessible technologies such as AACT (Accessibility, Accommodations, Adaptive Computing Technology) in Federal Service to learn from them and inform the next steps at Carleton.

(Informs [Recommendation B](#))

This focus area also branches out into communications and event support, and as such, there is a subgroup forming to examine those topics more closely. ([Recommendation D](#))

### 4. Physical Campus

For most people, we do not really notice the built environment until it gets in our way. Carleton is fortunate to have a team of dedicated professionals working towards making campus as accessible as possible. By adopting the Rick Hansen Foundation's Accessibility Standard, Carleton has created its new standard of excellence that far exceeds compliance with codes and regulations.

#### **Highlights:**

Carleton adopted the Rick Hansen Foundation's Accessibility Standard. All new buildings will need to achieve the equivalent of Gold status, and older buildings must achieve Rick Hansen Certified level with areas requiring improvement identified and cost. ([Recommendation A](#))

The team successfully accessed [four funded audits](#) through the Rick Hansen Foundation for the Canal Building, Richcraft Hall, and the Nicol Building and the campus's newest residence, which is in the design phase. Additionally, they have started a full accessibility audit of approximately 50 buildings across campus and the tunnels, outdoor pathways, and parking lots. Student life elements (i.e., parking lots, athletics facilities, and academic and residence buildings) are the priority. Preliminary audits are scheduled to be completed by the end of 2021.

([Recommendation B](#))

Contactless Access, a small module and app, has been added to the elevators and accessible doors in Patterson Hall, Richcraft Hall and the Canal Building to improve accessibility and support the need for reduced contact of high touch surfaces. This provides a new way to call an

elevator without touching its panel buttons, offering a safe, sanitary and accessible option to move around buildings. Carleton is now supporting the installation of Contactless Access modules at Toronto's Pearson Airport, including providing messaging and the development of an outbound media campaign. ([Recommendation C](#))

Facilities Management and Planning is engaging in necessary processes and resources to determine requests for and allocating funding to respond and address deficits in accessibility, including necessary retrofitting. ([Recommendations C and E](#))

## 5. Employment and Employee Support

Carleton prides itself on being a student-centred campus. Over the past two years, a significant effort has gone into the identification and creation of resources that support accessible employment opportunities for students. Although students with disabilities graduate on par with their non-disabled counterparts, their employment success is substantially lower. Carleton's ACT (Accessible Career Transitions) to Employ program supports paid experiential learning opportunities for students that align with their academic and career goals. The [AbleTo](#) awareness campaign evolved out of the [David C. Onley Initiative for Employment and Enterprise Development](#) to help bridge the gap between students with disabilities and employers by building pathways to meaningful employment.

The level of care and support students receive is a direct reflection of the wellness of its community, particularly staff and faculty. Carleton became the first post-secondary institution to reach Gold Level certification in Mental Health at Work. The Students and Enrolment division earned Bronze Level certification in Excellence, Innovation and Wellness.

More needs to be done though to particularly address structural inequities that may exist inherently in our practices and processes. Under the guidance of the AVP, Human Resources, the working group has accepted the challenge.

### **Highlights:**

An Accessible Workplace Benchmarking Project is under development. It will identify models and best practices that Carleton can implement and incorporate to create a more accessible workplace for persons with disabilities. ([Recommendations A, B, D, and E](#))

## 6. Student Support Services

From the Paul Menton Centre (PMC) to From Intention to Action (FITA) to on-campus services like the Centre for Student Academic Support (CSAS) and Health and Counseling Services, Carleton's student support services have been the leader for accessibility on campus for decades. Over the past two years, significant strides have been made to develop tools and resources around non-visible disabilities like mental health. In response to COVID-19, the University pulled together on-campus and community resources and continued to promote

mental health support through a variety of communication channels. One initiative, in particular, was the creation of digital wellness packages that could be sent and shared with people broadly and point them to resources. Social media messaging, campaigns, and chat sessions became the norm to break down barriers for student engagement. New counsellors were hired to support racialized, indigenous and graduate students.

The Student Mental Health Advisory Committee and the CAS Council support their mandates while collaborating on the vital work in their respective portfolios with mutual goals of a culture of inclusion, acceptance, and wellness.

### **Highlights:**

Year 1 has been about expanding beyond the student services portfolio and creating collaboration on campus, looking at the multiple identities of what it means to be a student at Carleton, including the level of study and using a lens of inclusivity. An initial [website](#) has been set up to provide a central resource for accessibility initiatives.

The working groups are gathering best practices happening on campus that will inform services portfolios. This activity includes identifying accessibility champions in each group and exploring a service-oriented training series on accessibility. ([Recommendations A, B, C, D](#))

During the Fall 2020 term, the Paul Menton Centre for Students with Disabilities (PMC) launched the Meta-cognition, Outcomes, Resilience, and Education (MORE) Program, a novel pilot program designed to complement the accommodation services currently offered by PMC. New students to PMC will receive a curated selection of supports that focus on student engagement, self-development, and resilience. The program is being assessed over eight months, with student academic and mental health outcomes helping to determine the efficacy of these additional supports. ([Recommendation A](#))

The Student Accessibility Champions is being launched and is inspired by the opportunity to build engagement within the Carleton community. Through mentorship, these student leaders play a critical role in supporting the Accessibility Action Plans associated with the CAS, both on campus and within our communities in Ottawa and around the world. ([Recommendation E](#))

## **7. Research and Development**

Research has a vital role in Carleton's vision of a society of full accessibility and inclusion. The NSERC CREATE Research, Education, Accessibility, Design and Innovation (READi), launched in 2017, launched the first interdisciplinary post-secondary accessibility-training program offered in Canada. [Transforming Disability Knowledge, Research and Activism – TDKRA](#), funded by SSHRC in 2016, focuses on engaging women and girls with disabilities in three disadvantaged communities in Hanoi, Thua Thien Hue, and Can Tho, Vietnam in participatory research as a way of building local knowledge and developing activism in support of their inclusion. These projects represent many ongoing initiatives that illustrate how research challenges the current

state while envisioning a future state that is more equitable. Carleton's research reputation continues to grow in parallel to its ongoing commitment to the community.

### **Highlights:**

READ, in partnership with a working group of faculty members (Adrian Chan, Kelly Fritsch, Vincent Kazmierski, Boris Vukovic), are developing a Collaborative Masters in Accessibility. Collaborative approaches to training develop specific expertise through the lens of interdisciplinary dialogue. This approach has proven success at Carleton, including the Collaborative Master's in Data Science and the minor in Disability Studies offered through the Pauline Jewett Institute of Women's and Gender Studies. The program also is part of the sustainability plan for the NSERC CREATE READi, led by Adrian Chan. ([Recommendation E](#))

Over the past two years, READ and its partners, with unwavering support from the Office of the Vice-President (Students and Enrolment) and the Office of the Vice-President (Research and International), are implementing \$12.5M in employment, training, and infrastructure proposals. READ also leads the National Office for CAN, which currently has more than 60 individuals participating from across the country. READ is now increasing its focus on building up capacity in accessibility research more broadly. ([Recommendations B and C](#))

Additionally, through initial funding as part of the Multidisciplinary Research Catalyst Fund through the Vice-President (Research and International), work has begun on the creation of a [researchers in accessibility](#) community, to continue to build in breadth and depth, research excellence in this burgeoning field. ([Recommendation B](#))

READ and McGill's International Institute of Education are collaborating on the next stage of a project for the development of local expertise in special education in Tanzania. The partnership includes Tanzania's University of Dar es Salaam, Patandi Teacher's College, and St. Francis School for children with disabilities, and has received support from Academics Without Borders and private sponsorship, as well as generating interest from UNESCO to investigate avenues for collaboration. In partnership with Tanzania's Patandi Teacher's College and the Mkwawa University College of Education, READ and McGill University have also begun work on co-designing educational development workshops for special education teachers in Tanzania. ([Recommendation C](#))

### **What's next?**

The CAS implementation working groups are rolling up their sleeves, each taking on significant projects that will be the cornerstone of the strategy's action plans over the next two years and beyond. As part of the continued success of our accessibility initiatives on campus is the willingness to listen and value the living experiences of our community, proposed action plans and planned activities will be posted on Carleton's [accessibility](#) website for community feedback in Fall 2021.

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*“Keeping it real, towards getting it done.” (Larry McCloskey)*

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By December 2021, an updated accessibility website will be unveiled that includes the result of an extensive environmental scan at Carleton and will act as the ‘front door’ for accessibility at Carleton. Guided by the four Vice-Presidents, the CAS Council will continue to realize a longer-term vision and strategy for accessibility, anchored on the objectives and recommendations of CAS. Building on the intersections of the action-focused work and strategic vision, the Coordination and Leadership group will work with the READ Initiative to develop a creative celebration of accessibility stories that engage the larger community and provide an opportunity to listen and learn from each other.

## Appendix 1

### 1. Coordination and Leadership

**Objectives:** Accessibility as a priority at all levels of leadership, with a commitment to continuous improvement. Dedicated University resources for coordination, leadership, and expertise in accessibility. Increased awareness and internalized culture of accessibility among the entire Carleton community, where accessibility is a consideration in everything we do. Recognition as a leader in accessibility internally by faculty, staff, and students, as well as the external community.

**A. Conduct a thorough environmental scan and create a living document of all accessibility initiatives at Carleton.**

**B. Establish an interdisciplinary Centre of Excellence in Accessibility that provides leadership, coordination, best practices, research, support, training, and knowledge mobilization.**

**C. Formalize the senior leadership responsibility for accessibility across the University's portfolios.**

**D. Increase depth of accessibility training of people in leadership positions.**

**E. Expand University-wide and community events and campaigns to increase awareness and foster a culture of accessibility.**

**F. Develop membership and contributions to accessibility partnerships, organizations, and consortium, partnering at the local, provincial, national, and global level.**

**G. Establish a central resource to disseminate and receive information on accessibility.**

### 2. Education and Training

**Objective:** Greater awareness and understanding of accessibility and disabilities, and increased capacity to respond to accessibility needs. Accessible teaching and learning environments with relevant supports and resources. Comprehensive academic, educational, and professional development programming in accessibility. Academic culture, faculty, and leadership that support accessibility and disability-informed postsecondary education.

**A. Increase the number of in-depth training opportunities in accessibility on campus that are relevant to different settings and exceed minimum requirements.**

**B. Increase the number of community activities that build greater awareness and understanding of accessibility and disabilities, barriers and exclusion, as well as opportunities for change.**

**C. Provide educators on campus with incentives, skills, and resources to consider accessibility in the design of academic activities and experiential learning, including the principles of universal design.**

**D. Include persons with disabilities and value their lived experiences as a source of knowledge in the design of teaching and learning.**

**E. Expand interdisciplinary academic programming and professional development in accessibility and disabilities for members of the internal and external community.**

**F. Address issues of accessibility and disabilities within the Faculties and Departments and encourage faculty to utilize relevant teaching and learning services.**

### **3. Information and Communications**

**Objectives: Compliance that exceeds minimum accessibility standards for all University information and communications systems. Accessibility and accommodation resources for information and communications needs on campus that are built-in or readily available. Increased knowledge, skills, and attitudes in all Carleton faculty and staff in accessibility in information and communications technologies.**

**A. Perform system audits for accessibility, driven by individual units.**

**B. Establish process for support for providing accommodations, and adaptive and assistive devices for Carleton events.**

**C. Establish a reporting protocol to identify information and communication related accessibility barriers and areas for improvement.**

**D. Establish best practices for accessibility in all knowledge creation and sharing (e.g., documents, presentation, websites, social media, conferences), which are shared internally and externally.**

**E. Provide guidelines and training opportunities on accessibility in knowledge creation and sharing for faculty and staff.**

**F. Ensure accessibility to be part of the procurement requirements.**

### **4. Physical Campus**

**Objectives: Standards for accessibility of the physical campus that go beyond the minimum requirements. Continual commitment to the elimination of existing accessibility barriers of Carleton University's physical campus. University policies and practices regarding the use of space, which supports the accessibility of the physical campus.**

**A. Create a Carleton University standard for accessibility of physical spaces based on best practice guidelines and certifications that surpass minimum requirements.**

**B. Perform a full accessibility audit of the physical campus with input from the campus community, particularly persons with disabilities.**

**C. Undertake systematic retrofitting to address current problems and meet the new standards for the physical campus.**

**D. Establish a reporting protocol to identify accessibility barriers and areas for improvement.**

**E. Establish a permanent University budget and related supporting resources for accessibility of physical spaces.**

**F. Review University policies and practices to consider accessibility where relevant to the physical campus.**

## 5. Employment and Employee Support

**Objectives:** Greater representation of persons with disabilities at all levels among Carleton employees. Inclusive and accessible hiring policies and practices and working environments. Coordinated and effective mechanisms for workplace accommodations.

**A.** Institute effective processes and go-to resources on campus for disability-related accommodations and supports for employees across all levels and stages of employment.

**B.** Review and identify gaps in employment-related policies, practices, and training that support accessibility, accommodations, and disability-competent inclusion.

**C.** Provide targeted opportunities across campus that promote career development and training for Carleton employees with disabilities.

**D.** Include employees with disabilities for input and participation to improve accessibility in employment for persons with disabilities.

**E.** Review Carleton's rates of employment of persons with disabilities and address gaps in representation where they exist.

## 6. Student Support Services

**Objectives:** Excellence in services for students with disabilities across all student service units. Ongoing capacity for services to fully support students with disabilities to achieve academic success. Supports for students with disabilities and accessibility expertise across all student services and the broader campus community.

**A.** Optimize resources through accessibility lens to be responsive to the growing needs for accommodation and support of students with disabilities.

**B.** Review and identify gaps in student services programming and delivery with consideration of both undergraduate and graduate students with disabilities.

**C.** Provide accessibility and disability-related training specific to different student services programs.

**D.** Build knowledge, awareness, and attitudes in accessibility and accommodations across all student facing services and points of contact on campus.

**E.** Establish formal student feedback and program evaluation protocols for disability-related student services for continuous quality improvement.

## 7. Research and Development

**Objectives:** Increased activity in accessibility and disability research; particularly interdisciplinary, participatory research, including those that address systemic and attitudinal barriers. Community of world-class accessibility and disability researchers, particularly researchers with disabilities. Increased awareness, recognition, and coordination of research activities in accessibility and disability both internally and externally. Significant contribution and leadership of Carleton University researchers to building a published knowledge base in accessibility and disability.

<b>A. Develop a strategic plan for accessibility and disability research and knowledge mobilization (e.g., research informed campus initiatives).</b>
<b>B. Create a University-wide network of researchers in accessibility and disability.</b>
<b>C. Grow the research capacity in accessibility and disability, including increasing the number and retention of researchers, research funding, research infrastructure, and community partnerships.</b>
<b>D. Pursue research chair(s) in accessibility and disability.</b>
<b>E. Establish academic programming to support research in accessibility and disability.</b>

# Coordinated Accessibility Strategy

Annual Report 2020-2021



**Carleton**  
UNIVERSITY



**READ Initiative**  
Research Education Accessibility & Design  
CARLETON UNIVERSITY





# Governance

- Coordinated Accessibility Strategy Ownership and Accountability
  - Vice-President (Students and Enrolment)
  - Vice-President (Research and International)
  - Provost and Vice-President (Academic)
  - Vice-President (Finance and Administration)
- Coordinated Accessibility Strategy Council
  - 2 Co-Chairs
  - CAS Implementation Lead
  - Senior Leadership for Engagement
  - Working Groups for each Area of Focus
  - 13 Members are at Large

# Cross-campus Partnerships

- READ and OQI collaborating on facilitation of plans
- READ and FMP working together on physical campus audits
- Within each working group, there are at least 2 different organizational units developing action plans focused on next 12-18 months



# Highlights

- Creation and launch of Canadian Accessibility Network (CAN), with READ as the National Office
- Strategic engagement with the Rick Hansen Foundation
  - Adopted RHF Accessibility Standard for campus
  - Training location for the RHF Accessibility Certification
- Accessibility audit underway of 50 buildings, tunnels, outdoor pathways, and parking lots
- Contactless Access added to the elevators and accessible doors some buildings

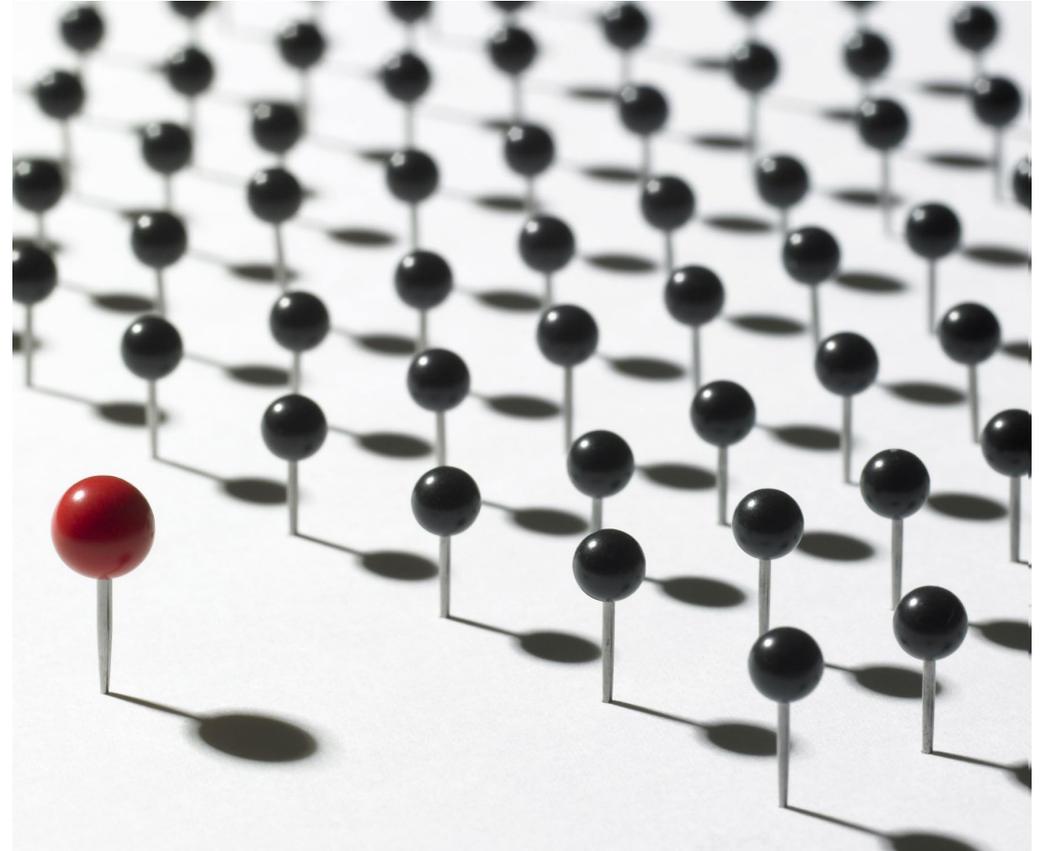


Rick Hansen  
Foundation

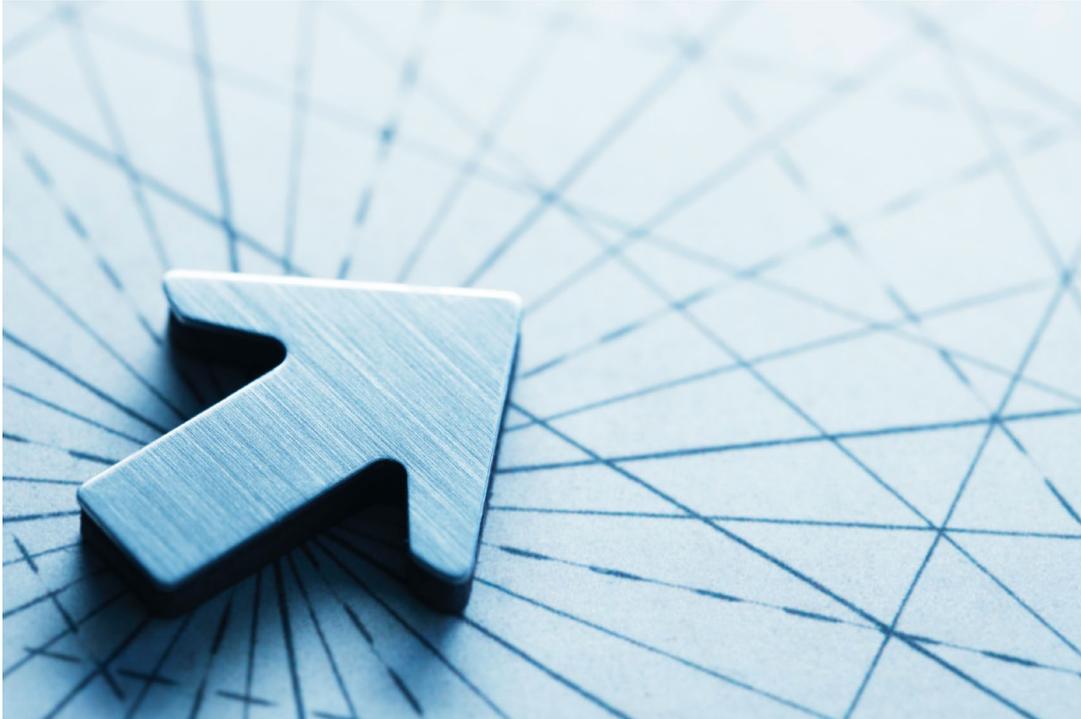


# Highlights (cont'd)

- Accessible Workplace Benchmarking Project is being developed
- Gathering best practices on campus that will inform services portfolios
- Development of a pilot initiative with Healthy Workplace focused on non-visible disabilities
- READ and its partners, with unwavering support from OVPSE and OVPRI, raised \$12.5M



# Next steps



- Update environmental scan of accessibility at Carleton
- Initiate extensive benchmarking project for employee and employment supports
- Community feedback on Action Plans
- Design and pilot a new service training concentration in accessibility

# Questions?

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Research Education Accessibility & Design  
CARLETON UNIVERSITY

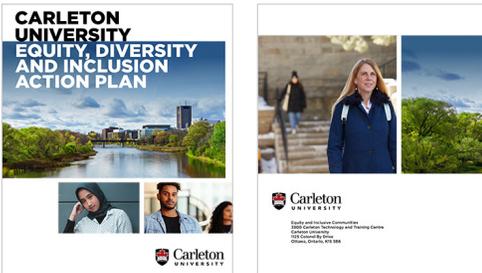


# **AGENDA ITEM**

**6.4**

# PRESIDENT'S REPORT TO THE BOARD OF GOVERNORS

April 29, 2021



Carleton launched its EDI Action Plan on March 23, shaping the future of an inclusive university



Inuk cultural educator Martha Flaherty and scholar Katherine Minich spoke at the Kinamàgàwin Symposium



President Benoit-Antoine Bacon and master's student Charlotte Smith with their Inspiration Awards



Nana aba Duncan is Carleton's new Carty Chair in Journalism, Diversity and Inclusion Studies

## COMMUNITY AND REPUTATIONAL HIGHLIGHTS

### EDI Action Plan Launched

Increased student support, new expertise, new courses. These are among the advances Carleton is making toward the goals of its Equity, Diversity and Inclusion (EDI) Action Plan, which was formally launched on March 23. "This is an important milestone for us all as we commit to working together to shape the future of an inclusive Carleton where everyone can fully belong and contribute," President Benoit-Antoine Bacon said during an online event. Carleton "is off to a strong start towards the full implementation" of its EDI plan, said Michael Charles, assistant vice-president and university advisor for Equity and Inclusive Communities (EIC). "With humility and purpose, we have arrived at this moment and look forward with anticipation and hope for the future."

### Kinamàgàwin Symposium Focuses on Inuit Relocations

This year's Kinamàgàwin Symposium, a virtual summit on February 25 hosted by Carleton's Centre for Indigenous Initiatives, highlighted the High Arctic government relocation of Inuit families in the 1950s, with painful recollections from keynote speaker and survivor Martha Flaherty. After she described the impacts of the Crown's experiment, the focus of the event shifted toward identifying and overcoming barriers that prevent Inuit from realizing self-determination. Pangnirtung-born Katherine Minich, a lecturer and Bruce Fellow Scholar from Carleton's School of Public Policy and Administration, talked about her research efforts to reframe public policy-making in northern communities by centring the discussion around Inuit social values and by striving to bolster community health.

### President and Grad Student Win Mental Health Awards

President Benoit-Antoine Bacon joined a list of acclaimed Canadians on March 4 when he was presented with the Transformational Leader for Mental Health Award from the Royal Ottawa Foundation at the 2021 Inspiration Awards. Past winners include retired general Romeo Dallaire and former Ottawa Senators captain Daniel Alfredsson. Bacon has been sharing his own story of depression and substance use to engage and empower the Carleton community in open and honest conversations about mental health in order to better address these critical issues on campus and beyond. Charlotte Smith, a master's student and peer researcher at Carleton's School of Social Work, received the Personal Leader for Mental Health Award.

### New Carty Chair in Journalism, Diversity and Inclusion Studies

Nana aba Duncan, an award-winning CBC journalist and a leading advocate for underrepresented perspectives in journalism, will be the first to hold the Carty Chair in Journalism, Diversity and Inclusion Studies at Carleton's School of Journalism and Communication. The teaching and research chair is the first of its kind in a journalism school in Canada and focuses on anti-racism, decolonizing journalism and fostering greater EDI in journalism education and in the media industry at large. Duncan takes up the position at a critical time for Carleton's journalism school — the oldest in Canada — as it confronts the challenge of reversing decades of systemic racism and takes concrete steps to change journalism. "My mission is to lead Carleton in establishing a new foundation for journalism in Canada, one that values journalists equally for their professional expertise and their lived experiences," said Duncan, who will start on July 1.

### Service Excellence Awards Brings Campus Community Together

The annual Service Excellence Awards were held virtually on February 23 with more than 600 faculty and staff joining the online celebration that recognizes their dedication to excellence. A record-breaking 482 nominations were submitted and detailed the inspirational stories of the work faculty and staff demonstrated in rising above the challenges of the past year. The positive impact created by awards was felt by all through the steady stream of posts to the chat, where attendees expressed their excitement about having an opportunity to be together (albeit virtually) and see their friends and colleagues and celebrate what makes Carleton a hub for good.



The Women in Engineering and Information Technology program will address the STEM gender gap

## ACADEMICS

### New Women in Engineering and Information Technology Program

Carleton's newly launched Women in Engineering and Information Technology (WiE&IT) program will provide learning and development opportunities for both undergraduate and graduate-level women within Carleton's wide range of engineering and information technology programs. Starting in fall 2021, the program will host events that foster relationship building and mentorship, start a fund to support allies in meeting EDI goals and establish a comprehensive network of ambassadors and volunteers, roles that are crucial in challenging the public perception of women in STEM. As one of the first sponsored programs of its kind in Canada, WiE&IT will be led by Carleton's Faculty of Engineering and Design, with financial support from nine industry and government partners. The program is another step toward closing the STEM gender gap, providing the necessary tools and knowledge for female students to successfully transition into the workforce.



One of the designs for 24 Sussex Drive, the Prime Minister's official residence, made by Architecture students

### Architecture Students Develop Design Ideas for 24 Sussex Drive

What to do with 24 Sussex Drive, the official residence of Canada's Prime Minister, has been a question for years. In collaboration with the National Capital Commission (NCC), custodians of official residences, a group of Carleton architecture students has studied the house and site and created a series of preliminary designs. They presented them to NCC officials, who are sharing them with those responsible for developing solutions for the rehabilitation of 24 Sussex. "I am very impressed with these innovating and most creative projects produced by the students," says Greg Kenney, the NCC's Vice President, Official Residences. "These will provide inspirations for the real project."

### Scholars At Risk Find New Homes at Carleton

Shuchi Karim, a sexuality and gender researcher from Bangladesh, is the latest academic to come to Carleton through the Scholars at Risk (SAR) program, a 20-year-old international organization that finds temporary research and teaching positions for academics in new countries when their safety is threatened at home. Since launching in 2014, Carleton's SAR chapter has raised more than \$60,000 to support scholars, spawned a students' group that raises awareness about issues such as the detention in Turkey of Carleton PhD student Cihan Erdal, and launched a new initiative — the Global Scholars Program — to provide long-distance fellowships to academics who cannot leave their home countries for political or family reasons.



Mustafa Bahrán (right) is now a visiting professor at Carleton after arriving through the SAR program

### Carleton Launches New IP Certificate

To help startups develop solid intellectual property (IP) strategies, which are critical to a company's long-term success, Carleton's Sprott School of Business is now offering a Certificate in IP Strategy. It consists of a 14-module course designed in partnership with IP specialists from the Stratford Group, a management consultancy. The certificate will help executives understand how fostering an IP-literate corporate culture can help protect IP and will address potential IP concerns associated with common issues like working with external researchers, using open-source software and departing employees. "The more intelligence that a company has around these issues, the easier it is to work with them," says Sandra Crocker, Carleton's associate vice-president (Strategic Initiatives and Partnerships). "Having the right IP knowledge makes it easier to develop collaborative agreements."



Sandra Crocker, Carleton's Associate vice-president (Strategic Initiatives and Partnerships)

### Brightspace is Coming

The Brightspace implementation team continues to prepare the new learning management system for the Carleton community. Instructors, staff and students now have access to the system and can begin exploring the new interface ahead of the official launch in May. Brightspace training is also underway for instructors, with both introductory and advanced workshops. In addition to training sessions, pilot instructors will begin sharing their experiences teaching with the new system at various Brightspace showcase events over the next few months.

### Supporting African Entrepreneurship

Sprott and Atlantic Hall School recently announced a MOU to enhance entrepreneurship and experiential learning opportunities for secondary school students in Nigeria.

## 2021 Achievement Award Recipients

- Teaching Achievement Award: Onita Basu (Civil and Environmental Engineering), Véronic Bézaire (Chemistry), Augustine Park (Sociology and Anthropology), Marylynn Steckley (Arthur Kroeger College of Public Affairs) and Andrew Webb (Sprott School of Business).
- Professional Achievement Award: Jennifer Browning (MacOdrum Library), Deborah Conners (Sociology and Anthropology), Patti Harper (MacOdrum Library), Brenda Morris (Social Work), Mike Murphy (Linguistics and Language Studies), Danette Nearing-Guibord (Criminology and Criminal Justice) and Shazia Sadaf (Interdisciplinary Studies).
- Research Achievement Award: Prosenjit Bose (Computer Science), Sonia Chiasson (Computer Science), Cynthia Cruickshank (Mechanical and Aerospace Engineering), Laura Horak (Studies in Art and Culture: Film Studies), Andrea Howard (Psychology), Victoria McArthur (Journalism and Communication), Jeffrey Monaghan (Criminology and Criminal Justice), Isaac Otchere (Sprott School of Business), Hongyu Sun (Neuroscience) and Richard Yu (Information Technology).
- Contract Instructor Teaching Award: Brittney Bos (Pauline Jewett Institute of Women's and Gender Studies), Jay Ramasubramanyam (Law and Legal Studies), Andrew Robinson (Physics) and Bruce Wallace (Systems and Computing Engineering).
- Contract Instructor Teaching Innovation Grant: Ahmad Hemami (Mechanical and Aerospace Engineering) and Kathleen Moss (Sociology and Anthropology).
- Faculty Graduate Mentoring Awards: Onita Basu (Civil and Environmental Engineering), Shelley Brown (Psychology), Jennifer Bruin (Biology), Mark Forbes (Biology), Heath MacMillan (Biology), Alexis Shotwell (Sociology and Anthropology) and Robert Teather (Information Technology).



Bachelor of Global and International Studies instructor Marylynn Steckley



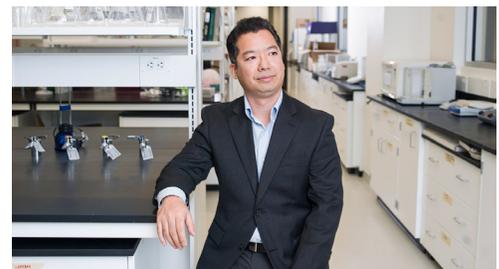
Sprott School of Business Prof. Andrew Webb



Patti Harper, the head of Research Support Services at Carleton's MacOdrum Library



Bachelor of Media Production and Design Prof. Victoria McArthur



Prof. Hongyu Sun, the Canada Research Chair in Developmental Neuroscience

## Special Events

- FASS hosted several compelling events in February and March. The annual Marston LaFrance lecture featured Mark Anderson speaking on “Zombies and the Death of Certainty in the Land of Perennial Rebirth.” Prof. James Deaville moderated a public panel entitled “Sound and Fury” that focused on the storming of the U.S. Capitol on January 6. The Department of English Language and Literature hosted the annual Munro Beattie Lecture, delivered by the Canadian comics creator who publishes under the name of Seth. FASS also held the final edition of the popular Healthy Cities Series interrogating the question of “What is the contribution of the built environment to a healthy city and, conversely, to the rise of an unhealthy city?”
- On March 4, FED hosted its third annual Breakthrough Breakfast, featuring three graduate-level and post-doctoral women researchers, in celebration of International Women's Day and International Womxn's Week in Ottawa. The event was hosted by Prof. Audrey Girouard, from the School of Information Technology and head of both the Collaborative Learning of Usability Experiences training program and Creative Interactions Lab at Carleton.
- Carleton's not-for-profit youth outreach organization Virtual Ventures hosted Go Code Girl, a two-day workshop event that gives girls in grades 7 to 12 the opportunity to learn more about the world of coding and software development and explore what a career in computing or engineering might look like.
- On January 30, FED hosted a special panel event on empowering women and gender minorities within the fields of engineering and IT. Moderated by alumna Jasmine Shaw, the panel featured Carleton's Winnie Ye, Karen Taylor, Eli Goddard (President of Carleton's Engiqueers society) and Madeleine Root Bartley (VP of Engineering for Carleton's Women in Science and Engineering), as they spoke about diversity and acceptance at Carleton, as well as how students can develop their skills outside the classroom.
- In concert with Carleton's recently approved EDI Action Plan, the Faculty of Science's 15-member EDI committee launched several initiatives in 2020 and is planning more to help encourage and support female students and to address the gender imbalance at the graduate, postdoc and faculty levels.
- On March 8, Sprott hosted its third Equity and Inclusive Communities event of the year. The event explored diversity and inclusion in the workplace and featured Michal Bach, the founder and CEO of the Canadian Centre for Diversity and Inclusion. The event was co-led by the Sprott Students' Business Society.



Biology Prof. Lenore Fahrig was recently appointed as the recipient of a prestigious Guggenheim Fellowship winner

## RESEARCH

### Prof. Lenore Fahrig Named as 2021 Guggenheim Fellowship Winner

Lenore Fahrig, Chancellor's Professor of Biology and Co-director of the Geomatics and Landscape Ecology Research Laboratory at Carleton, has been appointed as a prestigious Guggenheim Fellowship winner on the basis of prior achievement and exceptional promise. Successful candidates were chosen through a rigorous peer-review process from almost 3,000 applicants. Fahrig's research tests the critical, longstanding assumption in conservation biology that preservation of large-contiguous natural areas is needed for conserving threatened species. The results will be profoundly consequential, particularly if it's found that this assumption is incorrect. This would completely oppose current perception and practice in conservation, which considers small natural areas to have low value and typically ignores their protection.



The collaboration between Ericsson and Carleton will help both organizations continue their leadership in 5G

### Ericsson Partnership Picks Up Steam

The four-year Ericsson-Carleton University Partnership for Research and Leadership in Wireless Networks, which launched in February 2020, combines an ambitious research program with strategic talent development that will position both organizations to continue their leadership in 5G. Elements of the collaboration that have developed further over the past year include the Ericsson Chair in 5G wireless research for Systems and Computer Engineering Prof. Ioannis Lambadaris, a diverse group of 10 Carleton teams exploring topics such as networking drone swarms and optimizing bandwidth with machine learning, and funded fellowships at the master's and PhD levels to help attract the best students from around the world. Ericsson is a Stockholm-based multinational telecommunications company that has a strong R&D footprint in Ottawa.



Carleton's partnership with the Bruyère Research Institute is focused on remote and virtual-care research

### Carleton and Bruyère Research Institute Launch New Partnership

Carleton and the Bruyère Research Institute have established a multi-year strategic health tech partnership that will see a research focus on remote and virtual care, as well as new applications in biomedical engineering, software, sensors and simulators. The three-year initiative expands ongoing collaborations between the institutions' researchers combining Carleton's expertise in engineering, design, IT, social work and policy with the Bruyère Research Institute's focus on finding new ways to maximize quality of life for aging Canadians through clinical and residential care, cross-disciplinary innovations and technology.



Prof. Chris Burn, Prof. Kahente Horn-Miller and President Bacon announcing the Na-Cho Nyak Dun partnership

### Carleton Partner Wins Arctic Inspiration Prize

The First Nation of Na-Cho Nyak Dun (FNNND), in partnership with Carleton, has been awarded the Arctic Inspiration Prize (AIP). By celebrating and providing seed-funding to Northern teams with innovative project ideas, the AIP supports Northerners in bringing initiatives to life that bring about the changes they want to see in their communities. The team is being awarded for their project "The First Nation of Na-cho Nyak Dun's Food Sovereignty Hub," which seeks to be a capacity-building and empowerment project led by the FNNND, with project activities taking place in both Mayo, Yukon, and at the FNNND Farm. It will result in the creation of a network of communal infrastructure and programming designed to meet the community's food sovereignty and capacity development aspirations.

### Take a Trip Into Nature to Absorb Sounds and Improve Health

A recently published study from Carleton's Rachel Buxton, a research scientist in the Department of Biology, and researchers from the U.S. analyzed studies on the outcomes of listening to natural sounds and found striking human health benefits. The team found people who experienced the sounds of nature felt decreased pain, lower stress, improved mood and enhanced cognitive performance. The sounds of water were most effective at improving positive emotions and health outcomes, while bird sounds combat stress and annoyance.



Biology research scientist Rachel Buxton is exploring the health benefits of listening to natural sounds

### Prof. Sonya Lipsett-Rivera Captures Book Prize

Prof. Sonya Lipsett-Rivera (History) captured the American Historical Association's prestigious 2020 Maria Elena Martinez Prize for best book in Mexican History. Lipsett-Rivera received this honour for *The Origins of Macho: Men and Masculinity in Colonial Mexico*.

## CAMPUS LIFE AND INFRASTRUCTURE

### Carleton Named Top Employer for Seventh Consecutive Year

Carleton has been named a National Capital Region Top Employer for the seventh consecutive year. The competition is compiled by Canada's Top 100 Employers and is based on a number of criteria, including work atmosphere, physical workplace and community involvement. The judges noted Carleton's robust healthy workplace culture supported by the Healthy Workplace Strategic Plan, its initiatives as a green employer, a free tuition program for employees, their spouses and dependents, as well as the fact that 46 per cent of Carleton's managers are women. Part of this year's competition included employers' responses to the pandemic. Carleton's flexible and compassionate approach in supporting its faculty and staff through customized resources and a variety of accommodations was highlighted.



Carleton's National Capital Region Top Employer award is rooted in a robust healthy workplace culture

### Carleton Co-Founds Networks to Engage Corporations on Climate

Carleton is one of the founding members of a coalition of Canadian university endowments and pension plans aiming to engage corporations on climate change risks through SHARE, a non-profit investor advocacy organization. On behalf of the new University Network for Investor Engagement (UNIE) initiative, SHARE will engage with North American public companies held in university endowment and pension portfolios to address pervasive risks associated with climate change. The UNIE initiative will focus on key sectors where advocacy can make the biggest difference, including finance, transportation, energy and utilities and manufacturing.



Carleton is working with other universities to advocate for more corporate efforts to counter climate change

### Carleton's First Outdoor Space Master Plan Finalized

This new plan will help the university identify and prioritize improvements to the urban environment on campus and support improvements to pedestrian and cycling pathways. The plan was developed by consultant Brook McIlroy, in consultation with all members of the campus community. The plan's focus is in alignment with a number of university strategic plans including the Strategic Integrated Plan (SIP), Kinàmàgawin, the Transportation Plan, as well as the university's Sustainability Plan.



Carleton's new Outdoor Space Master Plan prioritizes improvements to the campus environment

### Carleton Partners With CAUBO to Offer Mental Health Series

Carleton and the Canadian Association of University Business Officers (CAUBO) have partnered to develop a series of workshops focussed on Mental Health in the Workplace, an emerging issue that was identified by CAUBO's national membership. CAUBO looked to Carleton, a long-time member of the organization, as a result of its expertise and success in developing mental health resources, supports and workshops for its faculty and staff that have been responsive to expressed needs during the pandemic. Three workshops will be held over the next several months.

### Engagement and Inclusion Officer Program Celebrates Birthday

The Engagement and Inclusion Officer (EIO) program within Campus Safety Services (CSS) has celebrated its first year and we are very proud of what we have accomplished. In what was a challenging year, the EIO engaged more than 300 people representing stakeholder groups across campus, and many more in the broader Ottawa community and beyond. The Carleton EIO program is a first of its kind in Canada and is modelled after Iowa State University's program. The EIO program represents CSS efforts to be an active partner in improving the campus climate. CSS believes our entire community should be invested in cultivating an inclusive campus and has collaborated with several university departments and student groups to continually improve these efforts.



Campus Safety Services' Engagement and Inclusion Officer program is the first of its kind in Canada



Alumnus Humphrey Law, who established a bursary for Indigenous students entering the Sprott School of Business

## ADVANCEMENT

### Revenue (May 1, 2020 to March 30, 2021)

Philanthropic	\$10,723,216
Gifts in Kind	\$6,257,366
Sponsorships	\$1,388,916
Research Partnerships	\$21,880,321
<b>Total</b>	<b>\$40,249,819</b>

While many charities and non-profit organizations continue to experience significant challenges, giving to Carleton remained strong in 2020 and early 2021. Donors and partners continue to see Carleton and higher education as a force for good, and increasingly as an option to help society renew, recover and rebuild from the pandemic. Philanthropic and corporate support remains strong this year, with notable investments in Carleton’s equity and Indigenous initiatives, technology and health research, experiential learning and access to education.



Thursday Night Live showcases the unique contributions of Carleton’s scholar athletes to important social issues

On the philanthropic side, donors were focused on advancing equity and social justice through support for higher education. In March, we announced a substantial gift from graduate Humphrey Law, who established a **bursary for Indigenous students** entering the Sprott School of Business. Alumna Jennifer Murakami made a personal gift and encouraged others to help establish **scholarship for Black, Indigenous and racialized students** in the School of Social Work. The Black Fundraisers Collective, a volunteer group of Black fundraising professionals, leveraged Giving Tuesday to establish a financial award for Black students in Carleton’s Master of Philanthropy and Nonprofit Leadership (MPNL) program.



Carleton collaborators at the Bruyère Research Institute and AGE-WELL test smart apartment technology

There was considerable momentum for the **Holistic Integrated Partnerships** initiative, as corporate partners looked to Carleton to help with research and workforce development for industries that will be even more important post pandemic. Working collaboratively with Research, Advancement brokered and launched numerous long-term partnerships in high tech. More announcements, with high-profile multi-national corporations, are scheduled this spring.

A **new collaboration with the Bruyère Research Institute**, jointly exploring new solutions to improve the health and wellness of Canadians, exemplifies Carleton’s renewed vision to build partnerships with purpose.

**Thursday Night Live**, a virtual initiative with Athletics, showcases the unique contributions of Carleton’s scholar athletes to important social issues.



Bruyère’s Dr. Frank Knoefel and Carleton student Haoyang Liu using sensors to monitor health during sleep

This success comes as Advancement continues its **“digital transformation”** – renewing our engagement strategy and organizational philosophies around digital outreach. We engaged experts and campus partners to lead all our staff through extensive social media training; some techniques led directly to meaningful conversations with donors.

We launched a **strategic plan to digitally connect with international alumni**, focusing first on graduates in Hong Kong; this model can be replicated in later 2021/22 for alumni communities in California and other regions.

## STUDENT LIFE

This winter, 1,064 undergraduate and 413 graduate level students graduated from Carleton. This represents an increase of 33% over winter 2020 for undergraduate students and an increase of 14% over winter 2020 for graduate level students. In total, **1,477 students graduated in February 2021, an overall increase of 27% over winter 2020.**

Health and Counselling Services (HCS) continues to enhance care for our community, with **two new nurse practitioners** joining the team to increase access to primary care, especially for mental health patients who require medication management. HCS has also started running weekly voluntary COVID-19 rapid antigen testing of asymptomatic residence students.

We created **Carleton's first virtual care package to support student mental health** during Let's Talk Week. This 11-page PDF was filled with hyperlinked resources, playlists, movement opportunities, recipes and ideas to spark creativity. The virtual care package will be available until the end of term, and since its launch, over 700 care packages have been sent.

Students continue to engage in meaningful employability programming through Career Services. **The Accessible Career Transitions to Employment (ACT to Employ)** program had 57 students placed for jobs, while another 146 students participated in the Job Shadow Program this winter term.

**The International Internship Program** supported the experiences of 50 students during the winter term, with another 71 students registered for summer experiences. Finally, the Spring Career Fair occurred on March 25, where there was a record high of 3,230 individual chats between the 1,081 students in attendance and the 188 employer representatives from 44 employers.

**Career Services partnered with the IT Branch of the Canada Revenue Agency (CRA)** to host two information sessions on March 9 and 10 to recruit Carleton students for summer and new grad employment. A record of 285 students attended the information sessions, and the CRA was so impressed that they hosted a follow up on March 15 for any student who missed the initial sessions.

**Peer Assisted Study Sessions (PASS)** offered mock midterm exams for students enrolled in PASS supported courses. Mock exams are designed as a learning tool to help prepare students for the actual exam by giving them practice answering questions in a timed setting and helping them gauge which aspects of the course content they know well and which need further review. Since February 2021, there have been 2,466 visits to PASS workshops, office hours and mock exams.

Carleton hosted the first-ever virtual **Relay for Life** from March 12 to 14, raising \$60,000 (and counting) towards ground-breaking cancer research and vital support services.

**The Canadian Accessibility Network (CAN)** continues to draw attention and gain national reputation. Four new organizations have joined this pan-Canadian collaboration: BDO Canada, Specialisterne, Accessibrand and the Canadian Autism Spectrum Disorder Association, bringing the total number of organizations participating to 33. At the municipal level, the City of Ottawa is embedding a new staff position within its Accessibility Services Office to support the work they will be undertaking as a collaborator of CAN.



Mental health support for students includes two new nurse practitioners at Health and Counselling Services



The Accessible Career Transitions to Employment program placed 57 students in jobs during the winter term



Carleton's Peer Assisted Study Sessions (PASS) offered students mock exams to prepare for end-of-term tests



Carleton's innovative therapy dog program, now virtual, is among the constellation of support services for students

## UNDERGRADUATE ENROLMENT UPDATE

### First-year 101 (Ontario high school) applications by university March 4, 2020 vs March 3, 2021 (OUAC Data)

	2020	2021	% change
Carleton Total Applications	20,248	19,150	-5.4
Carleton Applicants	14,828	14,131	-4.7
System Total Applications	466,982	477,563	2.3

### First-year new applicants (Carleton data) by region as of March 24, 2021 - 101 applicants

	2020	2021	% change
All	14,862	14,179	-4.6
Ottawa	4,774	5,024	5.2
Other Ontario	9,743	8,725	-10.4
Other	345	430	24.6

### First-year new approvals (Carleton data) by region as of March 24, 2021 - 101 Applicants

	2020	2021	% change
All	9,670	10,258	6.1
Ottawa	3,243	3,693	13.9
Other Ontario	6,331	6,465	2.1
Other	96	100	4.2

## UNDERGRADUATE RECRUITMENT UPDATE

Throughout February and March 2021, the International Admissions and Recruitment team participated in 28 virtual events, including school visits, online education fairs and agent sessions, which generated 597 leads. This brings the total number of international event leads for this cycle to 6,869, which is more than double the number of leads from this timeframe last year.

This winter, the Undergraduate Recruitment Office has booked 90 virtual high school visits to speak to applicants about their next steps and accepting their offer to Carleton. Virtual one-on-one meetings between applicants and recruitment officers continue, and as of February 2021, applicants can meet virtually with current students. The Undergraduate Recruitment Office is also running online general presentations once a month, which are now targeted to grade 11 students. "Your Career, Your Future" is also running monthly for students in grade 12.

March Open Houses ran virtually from March 13 to 20. Prospective students had a chance to connect with faculty, student services staff and current students through chat booths, video presentations and discussions. Guided virtual tours and residence tours were also offered as part of this interactive series. The March Open House events saw a total of 1,271 participants. Given that registrations for online events come mainly from students, we saw more students participate in March Break this year than in our pre-COVID-19 March Break events held on campus.

Our telecounselling "congratulations call" campaign has started. In collaboration with academic departments, faculty members are calling prospective students who are holding an offer of admission to provide information and the opportunity to answer prospective students' questions. New this year, prospective students can pre-book a call with a faculty member and we are offering tips on how to have a successful call with a professor. Student telecounsellors are also continuing to call both applicants and students with offers of admission for our "CU is Calling" campaign.

Email and social media campaigns are running regularly to promote all of the ways future Ravens can connect with Carleton. During April Break, a new social series called "Ravens Got Talent" will be featured on Instagram Live.

# **AGENDA ITEM**

## **7.1**



**To:** Board of Governors  
**From:** Jennifer Conley, Chief Advancement Officer  
**Date:** April 29, 2021  
**Re:** Room TB130, 1<sup>st</sup> Floor, Tory Building, Lab

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As per Carleton University's *Philanthropic Naming Policy and Commemorative Naming Policy*, I am writing to request that Lab TB130 on the 1st floor of the Tory Building be named the *Lacks Lab*. Additionally, I am requesting a student undergraduate biology award be named the Henrietta Lacks Award.

### **Team Hela**

In 2020, Carleton University students started an initiative to recognize Henrietta Lacks. The intention of the project is to recognize the use of HeLa cells in the BIOL3201 and BIOL4201 lab components. A petition on Change.org also calls for: 1) A plaque explaining history of Henrietta Lacks in front of the BIOL3201/4201 lab to expand the recognition beyond the Biology community at Carleton and 2) that same lab to be named after her as either "Henrietta Lacks" or "Lacks" lab. The petition states that this initiative is with the permission and knowledge of the Lacks' family and the name of the lab will be determined by the Lacks' family (along with approval by the University). On January 11, 2021, the Instagram page for this initiative posted that the plaque and lab naming have been approved by the Biology Department.

Signers of the petition are also asked to support an award. The \$5,000 goal on FutureFunder for the Biology Bursary for Black, Indigenous and Racialized undergraduate students has been met.

This Carleton University student led initiative was founded by Nadeea (Biology and Human Rights major). Along with Nadeea, current students Emily (Human Rights and Social Justice major), Oreoluwa (Criminology and Criminal Justice major), Isabella (Psychology major), Marwa (Biochemistry major), Maha (Communications and Media major) are also leaders of the project.

### **Henrietta Lacks**

In 1951, a young mother of five named Henrietta Lacks visited The Johns Hopkins Hospital in Baltimore, Maryland complaining of vaginal bleeding. Upon examination, gynecologist Dr. Howard Jones discovered a large, malignant tumor on her cervix. At the time, The Johns Hopkins Hospital was one of only a few hospitals to treat poor African-Americans. As medical records show, Lacks began undergoing radium treatments for her cervical cancer. A sample of her cancer cells retrieved during a biopsy were sent to Dr. George Gey's nearby tissue lab. For years, Dr. Gey, a prominent cancer and virus researcher, had been collecting cells from patients who came to The Johns Hopkins Hospital with cervical cancer, but each sample quickly died in Dr. Gey's lab. What he would soon discover was that Lacks' cells were unlike any of the others he had ever seen: where other cells would die, Lacks' cells doubled every 20 to 24 hours.

Today, these incredible cells— nicknamed "HeLa" cells, from the first two letters of her first and last names — are used to study the effects of toxins, drugs, hormones and viruses on the growth of cancer cells without experimenting on humans. They have been used to test the effects of radiation and poisons, to study the human genome, to learn more about how viruses work, and played a crucial role in the development of the polio vaccine. Although Henrietta Lacks ultimately passed away on October 4, 1951, at the age of 31, her cells continue to impact the world.

Henrietta Lacks was a Black woman born Loretta Pleasant on August 1, 1920, in Roanoke, Virginia, to Eliza and Johnny Pleasant. Sometime after, her name was changed from Loretta to Henrietta. As a

young child, Henrietta's mother passed away, and she moved to be raised by her grandfather, Tommy Lacks, on a tobacco farm in her beloved Clover, Virginia. Henrietta married David “Day” Lacks in 1941 in Halifax County, Virginia. As a young mother, she would move north with Day to find opportunities in Baltimore and made a home in Turner Station in Dundalk, Maryland. There, Henrietta and Day built a life for themselves and their five children: Lawrence, Elsie, David, Deborah, and Joseph (Zakariyya). Henrietta Lacks died eight months after her cancer diagnosis, leaving behind her children, husband, and her “immortal cells” that would change the world. While the birth of the HeLa cells were making a global impact – her family was not informed. Henrietta Lacks’ cells were unique, growing by the millions, commercialized and distributed worldwide to researchers, resulting in advances in medicine. It was not until 20 years after Henrietta’s death that her family would learn how science retrieved her cells and of her enormous contribution to medicine and humanity.

### **Lacks Family**

Since 2011, the Lyceum Agency has represented the following members of the Lacks family: David J. Lacks (Henrietta Lacks’s son), Shirley Lacks (Henrietta Lacks’s daughter-in-law), Alfred Carter, Jr. (Henrietta Lacks’s grandson), Jeri Lacks Whye (Henrietta Lacks’s granddaughter), David Lacks, Jr. (Henrietta Lacks’s grandson), Kim Lacks (Henrietta Lacks’s granddaughter), Victoria Baptiste (Henrietta Lacks’s great-granddaughter), and Veronica Robinson (Henrietta Lacks’s great-granddaughter). They have visited over 100 communities and campuses, where their appearances give audiences a first-person perspective on the collision between ethics, race, and the commercialization of human tissue, and how their experiences have impacted the Lacks family from generation to generation.

A profile on the Lacks Family is attached. See Appendix B

### **Request to Name a Lab on the 1<sup>st</sup> Floor, Tory Building**

Team Hela working with the Carleton Biology department and the Office of The Dean of Science, request that Room TB130, 1st Floor, Tory Building, Lab be named as the “Lacks Lab.”

### **Request to Name an Undergraduate Award for a 2<sup>nd</sup> year biology student, who is Black and identifies as a woman.**

Team Hela working with the Carleton Biology Department and the Office of The Dean of Science, request Henrietta Lacks Award be created with the funds raised this past giving Tuesday by Team Hela.

### **Approvals**

This request has been approved, in writing by the Lacks Family (see Appendix A)

This request has been approved, in writing, by Chuck MacDonald, Dean of Faculty of Science and is fully endorsed by Jennifer Conley, Chief Advancement Officer, University Advancement.

## **Appendix A – Approval from Lack Family**

**From:** Falasha Zuend <falasha@irisimpact.org>

**Sent:** March 8, 2021 11:48 AM

**To:** Chuck Macdonald <ChuckMacDonald@cunet.carleton.ca>; Bruce McKay <BruceMcKay@CUNET.CARLETON.CA>; oslyndakin@cunet.carleton.ca; Kylie Patrick <KyliePatrick@Cunet.Carleton.Ca>

**Subject:** APPROVAL & TERMS: Carleton HeLa

[External Email]

Dear Nadeea Rahim and Carleton University,

Thank you for your patience as we recently worked with our legal team to process this request. We appreciate your campus-led effort in recognizing our beloved Henrietta Lacks.

We hope to meet with you in the coming months to highlight how you have contributed to our Lacks Family-led HELA100 initiative.

Please find the written permission with terms below.

### **THE LACKS FAMILY APPROVAL**

#### **RECITALS**

- Whereas The Lacks Family seeks to educate the next generation on the impact of Henrietta Lacks while advancing health equity and social justice; and
- Whereas The Lacks Family aims to accomplish their goal through activities and strategic programs that promote health equity and social justice; and
- Whereas the undergraduate students of Carleton University have led a campus effort to recognize Henrietta Lacks (HeLa cells) in the BIOL3201 and BIOL4201 courses in the lab component; and
- Whereas this Carleton HeLa initiative aims to acknowledge Henrietta Lacks in three ways:
  1. A bursary named after Henrietta Lacks, as “Henrietta Lacks Award”;
  2. A Teaching Lab to be named the “Lacks Lab” (ideally where BIOL3201/4201 labs are taught); and

3. A plaque explaining Henrietta Lacks' history, ideally in front of the proposed Teaching Lab; and
- Whereas, Carleton HeLa initiative is willing and able to name a teaching lab and create, administer, promote, award, and administer a bursary, subject to the terms and conditions hereof:

## **AGREEMENT**

- The Lacks Family approves the requested use of Henrietta Lacks image, name in print, and attribution to the Carleton HeLa plaque, "Henrietta Lacks Award" bursary, and "Lacks Lab" teaching lab for the outline expressed purposes in the attached approved documents.
- The Lacks Family grants free access to the files with the approved descriptions and credits here: <https://hela100.org/purchase-with-a-purpose/ols/categories/media>.
- The Lacks Family permits Carleton University and its representatives to download content for the agreed-upon editorial purposes only, with access code: [mediahela100](https://hela100.org/mediahela100).
- The Lacks Family approves specific use of this content for the purposes of the Carleton HeLa initiative that is slated to be announced in March of 2021.
- By downloading content on hela100.org and accepting The Lacks Family's approval for Carleton HeLa initiative as requested, you accept [The Lacks Family terms of use](#), the terms outlined in this email, and agree not to share the provided access code with any other parties.
- The Lacks Family shall not be responsible for any loss or reduction in value with respect to any assets held in the "Henrietta Lacks Award" bursary or to misconduct or negligence of Carleton University or its employees or agents.
- In consideration of Carleton University creating a "Henrietta Lacks Award" bursary, Carleton University hereby agrees to indemnify and hold harmless The Lacks Family against any liability, cost, or expense which Carleton University may incur by reason with regard to a "Henrietta Lacks Award" bursary or "Lacks Lab."

Finally, The Lacks Family is on a mission to honor Henrietta Lacks' legacy and empower communities. We ask that you share the link to any coverage of this project to update our news files and share with the HELA100 community.

Thank you again! Feel free to contact us with any questions at [impact@hela100.org](mailto:impact@hela100.org) or visit [hela100.org/media-kit](https://hela100.org/media-kit) to view our media kit.

Sincerely,

The Lacks Family  
Phone: 410-864-3510  
Email: [Impact@hela100.org](mailto:Impact@hela100.org)  
Web: [hela100.org](https://hela100.org)



■ Selected Info

*Confidential*

*Prepared for: K. Patrick*

*Date: March 15, 2021*

*By: B. Schuurman*

## LACKS FAMILY / HeLa 100 CENTENNIAL CELEBRATION

### CARLETON CONNECTIONS

**Banner ID:** Not in Banner

**Donations to Carleton:** None

**Carleton Connections:**

- None identified

**Recent Contacts:** None

**Other Connections:**

- In 2020, Carleton University students started an initiative to recognize Henrietta Lacks. The intention of the project is to recognize the use of HeLa cells in the BIOL3201 and BIOL4201 lab components. A petition on Change.org also calls for: 1) A plaque explaining history of Henrietta Lacks in front of the BIOL3201/4201 lab to expand the recognition beyond the Biology community at Carleton and 2) that same lab to be named after her as either “Henrietta Lacks” or “Lacks” lab. The petition states that this initiative is with the permission and knowledge of the Lacks’ family and the name of the lab will be determined by the Lacks’ family (along with approval by the University). On January 11, 2021, the Instagram page for this initiative posted that the plaque and lab naming have been approved by the Biology Department.
- Signers of the petition are also asked to support a bursary. The \$5,000 goal on FutureFunder for the Biology Bursary for Black, Indigenous and Racialized undergraduate students has been met.
- This Carleton University student led initiative was founded by Nadeea (Biology and Human Rights major). Along with Nadeea, current students Emily (Human Rights and Social Justice major), Oreoluwa (Criminology and Criminal Justice major), Isabella (Psychology major), Marwa (Biochemistry major), Maha (Communications and Media major) are also leaders of the project.

(Source: Banner, [change.org](https://change.org), [futurefunder](https://futurefunder.com), [instagram](https://instagram.com))

### HENRIETTA LACKS

In 1951, a young mother of five named Henrietta Lacks visited The Johns Hopkins Hospital in Baltimore, Maryland complaining of vaginal bleeding. Upon examination, gynecologist Dr. Howard Jones discovered a large, malignant tumor on her cervix. At the time, The Johns



Immortal Life of Henrietta Lacks,” which inspired the HBO FILMS movie adaptation starring Oprah Winfrey. Her significant contributions have been recognized by the United States Congress, state legislatures, and local policymakers; and globally honored by governments, artists, schools, universities, scientists, patient advocates, social justice leaders, and more. August 1, Henrietta’s birthday, is recognized as “Henrietta Lacks Day” in Maryland.

Advances made possible by Henrietta Lacks’ cells, and the revenues they generated were not known to her family for more than twenty years. Even though Henrietta’s cells launched a multimillion-dollar industry that sells human biological materials, to date, her family has never received any of the revenues HeLa cells generated. Henrietta Lacks and her family’s experience is fundamental to modern bioethics policies and informed consent laws that benefit patients nationwide by building patient trust and protecting research participants. In 2013, the Lacks family entered a groundbreaking, HeLa Genome Data Use Agreement with the medical, scientific, and bioethics communities, giving them a role in regulating the HeLa genome sequences and discoveries.

Johns Hopkins University and the Johns Hopkins Medical Center have worked with members of the Lacks family since 2010, resulting in the development of a series of programs to recognize and honor Henrietta Lacks and her extraordinary contribution to clinical research and the advancement of health throughout the world. These include scholarships, engagement with local schools, and annual symposia. In 2016, Johns Hopkins began discussions about naming a new building on the medical campus and a graduate-level scholarship at the school of medicine for Henrietta Lacks. The Johns Hopkins Institute for Clinical and Translational Research (ICTR) hosts two Henrietta Lacks Symposia annually. Established in 2011, The Henrietta Lacks East Baltimore Health Sciences Scholarship provides a graduate of Paul Laurence Dunbar High School with a college scholarship of up to \$10,000 per year for four years to pursue a career in science. The Johns Hopkins Urban Health Institute offers the \$15,000 Henrietta Lacks Memorial Award to highlight the importance of community-university collaborations, and recognize, support, and promote exceptional programs developed jointly by university members and local community groups.

(Source: [hela100.org](http://hela100.org), [Johns Hopkins Medicine](http://Johns Hopkins Medicine), [WYPR](http://WYPR))

## LACKS FAMILY

Henrietta’s family didn’t learn that HeLa cells existed until the 1970s, when scientists wanted to do research on her children—Lawrence, David “Sonny” Jr., Deborah, and Zakariyya—to learn more about the remarkable “immortality” of Henrietta’s cell line. Her children were then used in research without their consent, and without having their most basic questions answered, such as, “What is a cell?” and “What does it mean that Henrietta’s cells are alive?”

Their story, as told in the book “The Immortal Life of Henrietta Lacks,” has sold nearly 3 million copies around the world, and has been selected as a common read by more than 250 schools, libraries, and community institutions. The book was written by Rebecca Skloot with the help of Deborah Lacks, a daughter of Henrietta Lacks. The Immortal Life of Henrietta Lacks has also been made into an HBO film produced by Oprah Winfrey and Alan Ball. Several members of the family were brought on as consultants.

In August 2013, 62 years after Henrietta’s death, the Lacks family reached an historic and unprecedented agreement with the U.S. National Institutes of Health. After a German lab posted

the full HeLa genome online for anyone to see, Henrietta's descendants came together with the NIH to consider options for protecting the family's privacy without hindering medical and scientific advancement. The result is the groundbreaking HeLa Genome Data Use Agreement. Under this agreement, two members of the family join representatives from the medical, scientific, and bioethics communities on a new panel that reviews research proposals for use of the full HeLa genome sequence data and grants permission on a case-by-case basis. According to NIH Director Dr. Francis Collins, this marks the next chapter in the Lacks family's contributions to the scientific community: "Just like their matriarch, the Lacks family continues to have a significant impact on medical progress by providing access to an important scientific tool that researchers will use to study the cause and effect of many diseases with the goal of developing treatments."

Since 2011, the Lyceum Agency has represented the following members of the Lacks family: David J. Lacks (Henrietta Lacks's son), Shirley Lacks (Henrietta Lacks's daughter-in-law), Alfred Carter, Jr. (Henrietta Lacks's grandson), Jeri Lacks Whye (Henrietta Lacks's granddaughter), David Lacks, Jr. (Henrietta Lacks's grandson), Kim Lacks (Henrietta Lacks's granddaughter), Victoria Baptiste (Henrietta Lacks's great-granddaughter), and Veronica Robinson (Henrietta Lacks's great-granddaughter). They have visited over 100 communities and campuses, where their appearances give audiences a first-person perspective on the collision between ethics, race, and the commercialization of human tissue, and how their experiences have impacted the Lacks family from generation to generation.

Members of the family maintain the [Lacks Family website](#), and social media accounts including [Facebook](#), and [Twitter](#).

*(Source: [Lacks Family website](#), [Lyceum Agency](#), [Facebook](#), [Twitter](#))*

## HELA100: Henrietta Lacks Centennial CELLebration

On August 1, 2020, Henrietta's 100th birthday was honored around the world with the launch a yearlong HELA100: Henrietta Lacks Centennial CELLebration led by members of the Lacks Family. In the U.S., The Henrietta Lacks Enhancing Cancer Research Act, was signed into law on December 18, 2020. This law calls for the U.S. Government Accountability Office to complete a study that reviews actions taken by federal agencies to help to address barriers to participation in federally funded cancer clinical trials by populations that have been traditionally underrepresented in such trials.

HELA100.ORG is the home of the Lacks Family's year-long outreach and education campaign to honor Henrietta Lacks. Its mission is to preserve the legacy of Henrietta Lacks and educate future generations on the impact of her immortal HeLa cells while promoting health equity and social justice. As the children of Henrietta Lacks' son David "Sonny" Lacks, Jeri and David Jr. co-founded "CELLebrate Henrietta Lacks" and the Lacks Family led HELA100: Henrietta Lacks Centennial CELLebration to ensure that future generations recognize their grandmother's incontestable impact through education and dialogue.

In honour of the Centennial CELLebration, in 2020 organizations that utilize the HeLa cells made the first historic gifts to the Henrietta Lacks Foundation. An undisclosed gift from life-sciences company Abcam and a \$400 starting gift from Howard Hughes Medical Institute (\$100 for each cell line that lab members had created, with other gifts promised for future cell lines) were a symbolic effort to encourage other organizations to do the same. These gifts will benefit

members of the Lacks family as well as other individuals and families who were involved in historic research cases without their consent through grants from the Henrietta Lacks Foundation.

(Source: [hela100.org](http://hela100.org), [Lyceum Agency](#), [Henrietta Lacks Foundation](#))

## HENRIETTA LACKS FOUNDATION

The Henrietta Lacks Foundation was established in 2010 by Rebecca Skloot, the author of the book “The Immortal Life of Henrietta Lacks.” The Foundation provides financial assistance to individuals and families — particularly within minority communities — who were involved in historic research cases without their knowledge, consent, or benefit. This includes the cases of Henrietta Lacks and HeLa cells, the Tuskegee Syphilis Studies, and The Human Radiation Experiments, among others. The Foundation offers those who have benefited from those contributions — including scientists, universities, corporations, and the general public — a way to show their appreciation to such research subjects and their families. The Foundation has awarded more than 80 grants to nearly 30 qualifying members of Henrietta Lacks’s immediate family. These include grants for health care and dental assistance, tuition and books, job training and maintaining employment, and emergency relief.

Though nearly 30 members of the Lacks family have received grants from the Foundation, the Foundation is not affiliated with the Lacks family and has been established to benefit the general public by, among other things, providing financial help to those in need who have made contributions to scientific research unwillingly or unknowingly. The Board of Directors has been selected to include numerous specialists who are deeply trusted by members of the Lacks family and who have a deep understanding of the story and legacy of Henrietta Lacks and her family as well as other potentially qualifying recipients. Consistent with IRS guidelines, the Foundation has adopted a conflict of interest policy designed to ensure that the directors and officers of the foundation are not potential beneficiaries of grants. To that end, no member of the Lacks family sits on the board, which allows members of the Lacks family to remain eligible to receive funds from the Foundation and helps to ensure that the Board of Directors will be free from any conflicts of interest in implementing the charitable mission of the Foundation.

In 2020, in honour of the Centennial CELLebration of the birth of Henrietta Lacks, gifts to the Foundation were solicited from organizations that utilize the HeLa cells. An undisclosed gift from life-sciences company Abcam and a \$400 starting gift from Howard Hughes Medical Institute (\$100 for each cell line that lab members had created, with other gifts promised for future cell lines) were made as a symbolic effort to encourage other organizations to do the same.

U.S. tax form 990 is not available for the Henrietta Lacks Foundation, indicating at the Foundation had annual revenues of less than \$50,000.

(Source: [Henrietta Lacks Foundation](#), [Lyceum Agency](#), [Guidestar](#))

## CONTROVERSIES

In 2013, the European Molecular Biology Laboratory in Heidelberg, Germany, published the HeLa genome without the consent of the Lacks family, which could have revealed private genetic information about Henrietta Lacks’ descendants. Eventually, a compromise was reached called the HeLa Genome Data Use agreement. As part of this agreement, two members of the Lacks family now sit on the US National Institutes of Health working group that grants

permission to access HeLa sequence information. Public awareness about the case of Henrietta Lacks led to a turning point in the field of bioethics. Most countries now have specific rules and laws around informed consent and privacy to help protect patients.

While the descendants of Henrietta Lacks are largely united in promoting and protecting Henrietta's legacy, some have been critical of the family's inability to receive financial compensation from proceeds derived from commercialization of HeLa cells. In 2017, Lawrence Lacks, the eldest son of Henrietta, told the Washington Post that the family members have not received profits gained from the research of the cells, nor have they received adequate compensation from the book, "The Immortal Life of Henrietta Lacks," or from the HBO movie. The book was written by Rebecca Skloot with the help of Deborah Lacks, a daughter of Henrietta Lacks. Five family members served as paid consultants to the movie, according to a 2017 Washington Post interview. Lawrence Lacks refused to consult on the film, Bostick said, "having been advised by prior counsel not to participate and therefore did not receive compensation." Lawrence Lacks said during a panel discussion at Busboys and Poets in Washington in 2018 that "I did not want to sell rights to my life." He said he disagreed with the way the family was portrayed, though some family members have endorsed the book and movie. Lacks said he felt it was unfair that some family members have been excluded from opportunities to give speeches across the country. In 2017, Lawrence and his son Ron asked that the Henrietta Lacks Foundation, established and funded mostly by Skloot, be transferred to their control. They also requested that "HBO and Winfrey's Harpo Films donate \$10 million each to a new foundation started in Lawrence's name, and that a speakers' agency stop booking other family members for appearances without Lawrence's approval," according to a 2017 Post interview. NIH told The Post in 2017 that it would refuse to get involved in a family dispute. Attorneys for Skloot responded to the allegations by saying there is case law that would establish that Lawrence and Ron have no authority over other family members speaking about Henrietta Lacks at public forums.

In 2018 it was reported that Lawrence Lacks, Henrietta's oldest son and executor of Lacks' estate, his son Ron Lacks, and several other family members were working with attorney Christina Bostick to try a new approach to gain some of the financial benefit from the famous HeLa cells for the Lacks family. "A couple years ago, I reached out to Ron thinking that I might be able to find a way to help from a legal standpoint. We're preparing a guardianship complaint for the cells," Bostick told the AFRO, a Maryland newspaper. "The cell itself has a claim. It cannot communicate on its own behalf and it would be the job of some other adult to step in," Bostick said. The attorney was said to be filing a guardianship claim on behalf of the Lacks estate in Baltimore County Circuit Court once Bostick secured two doctors willing to certify the "disability claim" for the Lacks cells. Lawrence Lacks said that his family tried to get information on Henrietta Lacks' treatment at Johns Hopkins hospital for years and were repeatedly denied, even when others, like Rebecca Skloot, author of the New York Times bestselling book, "The Immortal Life of Henrietta Lacks," obtained data about the Lacks case and HeLa cells from Johns Hopkins. As of March 2021, this petition has not been pursued.

(Source: [New Scientist](#), [Washington Post](#), [AFRO](#))

## ADDITIONAL INFORMATION

Several other groups associated with Henrietta Lacks exist, including:

The Henrietta Lacks Legacy Group is a 501c3 non-profit that exists to protect, preserve, and promote the legacy of Henrietta Lacks and her contributions to modern medicine (via HeLa Cells) and promote conversations around health equity. It also exists to serve as a clearing house for activities that extend Lacks' legacy and historic of Turner Station, Maryland, where Lacks resided at the time of her death. Among other educational activities the group has and continues to: Coordinate the annual Henrietta Lacks Essay and Video Clip Contest for middle and high school students; Advocate for the preservation of significant buildings and historical figures in Turner Station; Raise funds for the Henrietta Lacks Endowed Scholarship at the Community College of Baltimore County; Present the annual Black Steel Workers Program; Co-sponsor the Turner Station Girl Scouts; Advocate for a US Commemorative Postage Stamp; Advocate for Mrs. Lacks' inclusion to the National Women Hall of Fame; and Advocate for a national day of recognition for Mrs. Henrietta Lacks.

The Henrietta Lacks House of Healing (HLHOH) is a 501c3 non-profit that provides transitional living, educational services and health resources in the greater Baltimore area in order to combat homelessness and recidivism by supporting re-entry into the community after recent release. HLHOH achieves its objectives in partnership with the Baltimore City Community College, Living Classrooms Foundation, community health centers, and local employers. HLHOH also serves as the fiscal sponsor of the #HELA100 year-long global Centennial CELLebration honoring Henrietta Lacks led by The Lacks Family.

*(Source: [Henrietta Lacks Legacy Group](#), [Henrietta Lacks House of Healing](#))*