



# UNIVERSITY SECRETARIAT: ANNUAL REPORT

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# ANNUAL REPORT 2018

## MISSION

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The University Secretariat's mission is to manage and support the University's bicameral governance system in accordance with legal requirements and obligations, the Carleton University Act, the bylaws and regulations of Senate and Board, and accepted best governance practices. Our role is:

1. To ensure that decisions of Senate, Board and their committees are made appropriately in accordance with legal requirements and obligations established in law and by the policies, procedures and regulations approved by Board and Senate.
2. To ensure that Senate, Board and their committees are duly constituted and that their members receive the information and assistance they require to make good decisions and that the decisions taken are available to the University community.
3. To provide support, advice and assistance to members of the governors, senior administration, and senators so that the process of decision making is clear, efficient and effective.
4. To oversee the administration and establishment of appeals, elections, ratifications, senior executive searches, appointments and review committees.
5. To oversee a records management program and associated policies and procedures.
6. To coordinate and facilitate university policy review.

## BOARD OF GOVERNORS OFFICE

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The following is a list of the major projects and initiatives that the Board of Governors has been involved with and/or has carried out in 2017-2018:

- **7 Full Board Meetings and 44 Committee Meetings**
  
- **Standing Committees in 2017/2018:**
  - Executive
  - Human Resources/Compensation Subcommittee
  - Finance
  - Audit
  - Building Program
  - Community Relations and Advancement
  - Nominating
  - Governance
  
- **Board Orientation**
  - Half-day session held in early September 2017 that gave an overview of the Board and governance, strategic directions, SMA, committee Q&A, Vice-President portfolio and comprehensive campaign summaries
  - Participant survey highlighted that the session met expectations and was found to be useful for Board members. Improvements for 2018 will include: a longer presentation sessions as well as more time for breakout sessions for committees. These new features will prevent rushed presentations and provide enough time for Board members to talk.
  
- **Board Retreat**
  - A day and a half retreat was held in October 2017, that included an opening reception and dinner (invited students, staff, faculty and deans from each of the Faculties), presentation from Bonnie Paterson and Maureen Mancuso on SMA, breakout sessions to identify key directions and strategic concepts for the University.
  - Participant survey highlighted that the Board members found the retreat an effective use of their time and liked having it on campus with tours, outside speakers, and time for socializing. Board members indicated they would like to have more time dedicated to discussing future priorities of the Board and the University and would support having retreats twice per year.

- **Board Year-End Dinner**
  - Year-end volunteer and service recognition for retiring Board members was held in June 2017.
  - Board members recognized were: Michael Wernick, Debra Armstrong, Banu Ormeci, Greg Owens, Joanne Ostrajanskiy, Michael Bueckert, Fahd Alhattab and Roseann O'Reilly Runte.
  - Peter Ricketts, Provost and Vice-President (Academic) was also recognized for his service to the University and wished all the best as President of Acadia.
  - Past Board Chairs were invited to attend the dinner as part of celebrating Carleton's 75th Year.
  
- **Talk Exchange**
  - Organized by the Community Relations and Advancement (CRA) committee to provide a forum for a cross-section of Carleton's communities/stakeholders (students, faculty, staff, alumni and donors) to engage in an open discussion about Carleton's future.
  - Linda Ann Daly, Chair and Jay Nordenstrom, Vice-chair of the CRA organized the event with the support of the Board Office and the Department of University Communications.
  - The forum was held on October 5, 2017 and included over 24 participants who registered in advance through the Talk Exchange website, as well as 5 participants that dropped in to take part in the event and 3 student note-takers from the Paul Menton Centre. The total number of participants in attendance was 29.
  - The conversation was focused around the following questions: What do we want Carleton University to be known for?; How do we get there?; How do we improve?
  - The Talk Exchange participants expressed a strong desire to have more opportunities for constructive conversations within the university community and the Board.
  - The Three themes of "Research", "Perception" and "Culture" dominated the feedback. The themes relate to the mandate of the CR&A Committee. From the feedback, the Board has an opportunity to: assess how it engages with the community groups; capitalize on the great success stories happening around campus and how it can harness the energy of the campus community to further student engagement and encourage students to choose Carleton as their university.

- The participant survey showed that sessions should be longer in order to facilitate a more in-depth conversation and that once the individual table sessions have ended, the discussion be opened up to the entire group.
- **Governor Elections**
  - Administrative Staff Elections – held in June 2017 and May 2018 – Art Ullett was re-elected for a three-year term and Nina Karhu was elected for a three-year term.
  - Academic Staff Elections – held in May 2018 – Jonathan Malloy was elected for a three-year term.
  - Undergraduate Student Elections – held in March 2018 – Taylor Arnt and Yvonne Osagie elected for one-year terms.
  - Graduate Student Elections – held in March 2018 – Elise Wohlobold and Alaine Spiwak elected for one-year terms.
  - All elections held in 2018 included a mandatory Board 101 session for all nominees, which helped to increase governance knowledge on campus, as well as, make candidates aware of the time commitment to serve.
- **Community-at-Large Board Member Recruitment**
  - A recruitment ad was developed and approved of by the Nominating Committee. Ads were placed in: the Ottawa Citizen, Le Droit, the Ottawa Business Journal, OSCAR, the Glebe Report, LinkedIn, as well as direct emails from the Board chair to the Alumni Association, the Carleton community, and on various listserves. The advertisements and direct emails were very successful with over 166 applications received.
- **Major Approvals by the Board of Governors 2017-2018**
  - Purchase of Dominion Chalmers United Church
  - Nicol Building Construction and Design
  - Fit-up of the 4th and 6th floors of the Health Sciences Building
  - Fit-up of the Advanced Research and Innovation in Smart Environments (ARISE) Building
  - Appointment of Dr. Benoit-Antoine Bacon, President and Vice-Chancellor
  - Appropriation of the 2017/2018 Surplus
  - Approval of the Operating and the Ancillary Budgets for 2018/2019
  - Canada Research Chairs Equity, Diversity and Inclusion Action Plan
  - Statement of Investment Policies and Procedures for Carleton University Retirement Fund

- Board of Governors Award for Outstanding Community Achievement recipient for 2018
- Ratification of the CUPE 2424 Collective Agreement (Executive Committee on behalf of the Board of Governors)
- Mandates for collective bargaining for CUASA, CUPE 910, CUPE 3778 and PSAC (Executive Committee on behalf of the Board of Governors)
- Executive Compensation Framework (Executive Committee on behalf of the Board of Governors)
- **Governance Approvals/Changes Summary:**
  - Update to the Code of Conduct – January 2018
  - Revision of the General Operating By-law No.1 – section 4.03 (b) amended and adopted
  - Establishment and approval of the Human Resources/Compensation Subcommittee of the Executive Committee
  - Update to the Executive Committee Terms of Reference
  - Update and implementation of Board Self-Assessment 2017/2018
  - Update and implementation of Student, Academic and Administrative Staff Governor Election Processes
  - Development and wide-advertisement for Community-at-Large applicants (166 applications received)
  - Approval of revision to the Academic Governance of the University Policy
  - Approval of updates to the Appointment Guidelines for the President, Vice-Presidents, University Secretary and Guidelines for Senior Academic Appointments
  - Establishment and approval of the University Operating and Capital Reserve Policy
  - Best Practices Review – Request for Quotation development with work to be conducted in 2018/2019
  - Updates to the Board of Governors website including “Governance at Carleton” page

## SENATE OFFICE

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The following is a list of the major projects and initiatives of the Senate Office in 2017-2018:

- **Employee turn-over:** Ms. Hutchence formally ended her employment with Carleton University in May 2017. Ms. Kathy McKinley joined the Senate Office as Interim Secretary to Board and Senate in July 2017.
  
- **Nine Senate Meetings held in 2017/2018**
  
- **Standing Committees in 2017/2018 which the Senate Office provides secretarial support for:**
  - Senate Executive Committee (8 meetings)
    - ◇ Selection of new Clerk of Senate for 2018 - 21
  - Senate Committee on Medals and Prizes (2 meetings)
    - ◇ Policy revised and updated
  - Senate Honorary Degrees Committee (3 meetings)
    - ◇ Policy revised, including a more clearly defined process, new application form and provision to rescind honorary degrees
  - Senate Academic Governance Committee (9 meetings)
    - ◇ (See below for major initiatives)
  
- **Elections held:**
  - Senate Election - Contract Instructor Representatives, Fall 2017
  - Senate Election - Student Representative from FPA, Fall 2017
  - Senate Election - Faculty Representatives on Advisory Committee on the election of the Provost, Spring 2018
  - CASG Executive Elections
  - CASG Bi-elections, Fall 2017 in Journalism,
  - CASG elections Winter 2018 in FASS Cognitive Science, Human Rights
  - Student Society Elections:
    - ◇ Carleton Science Student Society Elections - Neuroscience
    - ◇ Carleton Science Student Society Executive Elections
    - ◇ Carleton Health Science Society Executive elections
    - ◇ Sustainable and Renewable Energy Engineering Society Executive Election Winter 2018

- **Convocation Support**
  - Faculty sign-up and regalia order
  - Presenter and Hooder Assignments for all degrees, diplomas and certificates
  - Coordination of hooders for all PhD Candidates
  - VIP Regalia Order
  - Beadle sign-up, gown order and schedule
  - Associate Marshall recruitment and training
  - Ceremony scripts
  - Seating plan for faculty and VIPs on stage
  
- **Major Approvals by Senate 2017-2018:**
  - New programs approved:
    - ◊ Post Baccalaureate Diploma in Professional Writing
    - ◊ Certificate in Professional Writing
    - ◊ MSc in Management
    - ◊ BSc in Interdisciplinary Science and Practice
  - E-Vote Policy at Senate developed and approved
  - Senate Emergency Academic Response Committee discontinued
  - Establishment of new Student Senator Committee, for students on Senate to share information and receive guidance on governance issues
  - Senate Financial Review Committee changed to Senate Review Committee with new terms of reference and a broader mandate
  
- **Governance Approvals/Changes Summary:**
  - Changes to the AGU
    - ◊ updates to ex officio designations and other corrections
    - ◊ modification of student membership requirements to broaden eligibility for students in all programs to serve on Senate and Senate committees
    - ◊ Modification of Article 5.2 to allow Senate to meet on short notice; addition of Article 5.2.7 to define terms of short-notice meetings

## CORPORATE ARCHIVES KEY PROJECTS

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The following is a list of the major projects and initiatives that the Corporate Archives has been involved with and/or has carried out in 2017-2018:

- **Corporate Archivist and Assistant Privacy Officer Split:** Chris Trainor resigned from the office in February 2018. Steven Levitt and I worked together to write a justification, job description, and worked with Human Resources on grading the positions for a Corporate Archivist (incumbent Shannon Hodge) and an Access to Information and Privacy Manager (incumbent Pierce White-Joncas). Previously to this Mr. Trainor reported to me with a dotted line relationship to Mr. Levitt but the majority of his workload was with privacy and access, which left little time to develop and implement proper records management. This split of position was essential to have a properly functioning Corporate Archives.
- **Acquisition of AtoM software.** The Corporate Archives acquired software designed to maintain both physical and intellectual control over archival materials. The software will also provide online access to the Corporate Archives collections as well as access to digital materials, manage finding aids, and track current archival holdings. Ultimately, this database software will also be a key tool in establishing a trusted digital repository for the permanent electronic records. Full implementation is underway.
- **Backlog Processing.** Processing the backlog and moving materials to the Library storage facility is a key priority for the year ahead but requires processing and accessioning space (i.e. Robertson Hall 115). Another issue is staff resources to process material in a timely fashion. We have been working to apply for work-study students, provide internships and practicums for students.

- **The University-wide Retention Schedule & Advisory Committee on University Records.** As a result of the University's records management audit, one of the action items was to create a retention schedule for the University. As a result, the Advisory Committee on University Records was struck to offer feedback and help finalize a draft schedule which was approved by Senior Management Committee on June 28, 2017. This Committee will be a useful resource going forward as other records management issues will need to be addressed. Specifically, the University's use of third party records storage vendors and management of digital records will need to be a focus.
- **Increase Visibility of Corporate Archives in the University community.** It is a constant focus to ensure that the Corporate Archives is integrated back into the University community. This is being accomplished through information sessions, tying the Archives into records management questions, talking with individuals and developing a working relationship with Archives and Research Collections personnel. Wherever possible joint initiatives and collaboration with the Privacy Office is being explored.

## PRESIDENTIAL SEARCH COMMITTEE PROCESS

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The Advisory Committee on the President was established on June 19, 2017 with the following membership:

- Chair of the Board ex-officio - Chris Carruthers
- Vice-Chair of the Board ex-officio - Nik Nanos
- Three persons elected by Senate - Adrian Chan, Joshua Greenberg and Elinor Sloan
- One Senior Administrator elected by the Vice-President Academic and Research Committee (VPARC) - Rafik Goubran
- One Dean elected by VPARC - Linda Schweitzer
- One Undergraduate and one Graduate student elected by Senate - Matthew Pelletier and Ahmed Hassan
- One member of the Board, being a representative of the staff of the university (other than the academic or library staff), elected by the Board - Clair Switzer
- Three community-at-large members of the Board, elected by the Board - Bob Wener, Jay Nordenstrom, Rosemary Thompson

(In December 2017, Rosemary Thompson resigned from the committee and was subsequently replaced by Lynn Honsberger on Dec. 21, 2017. On March 14, 2018, Clair Switzer resigned from the Board of Governors and therefore resigned from the Committee).

The Executive Committee engaged Perrett Laver as the Executive Search Firm in the summer of 2017.

The committee, with the assistance of Perrett Laver, conducted conversations with hundreds of internal and external stakeholders. More than 110 members of the Carleton community submitted their opinions and thoughts via an online portal (which was managed by the University Secretariat). These conversations focused on opportunities and challenges for the University as a whole, as well as the qualities and characteristics they hoped to see in the next president. The feedback was used to create the position profile and appointment detail documents, which was drafted and formatted by the University Secretariat and Department of University Communications.

The Advisory Committee on the President held their first meeting Sept. 5, 2017. The Committee met seven times during 2017 and 2018 to consider 53 applicants and it conducted two full rounds of interviews with potential candidates. The committee successfully identified a new president (Dr. Benoit-Antoine Bacon) for Carleton University based on the position profile for a five-year term commencing July 1, 2018.

During the course of the search, frequent updates were emailed to the entire Carleton community and a special section of the Board of Governors website was created to hold the information which was updated and maintained by the University Secretariat and the Department of University Communications. <https://carleton.ca/presidential-search/search-committee/>

All logistics, travel arrangements and bookings were coordinated by the University Secretariat. The University Secretary also provided process and procedural advice throughout the process to assist the Chair of the Committee.

## UNIVERSITY POLICIES UPDATE

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University Secretary served on the Senior Management Committee. Secretariat Administrator maintained and update the University Policies website. The following policies were updated or reviewed:

- Accreditation of Student Organizations
- Alcohol Policy
- Building Authorities Policy
- Campus Emergency Phone Policy
- Acceptable Use Policy for Information Technology
- Acquisition of Wireless Cellular Services Policy
- Chancellor's Professors at Carleton University
- Data Retention Policy
- Data and Information Classification and Protection
- Emergency Management and Continuity of Operations Program
- Information Security
- Password Policy for Information Systems
- Safety Information Notices
- Travel and Related Expenses Policy
- University Operating and Capital Reserves

## UNIVERSITY STUDENT APPEAL BOARD

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Under the Student and Visitor Ban from Campus Policy, appeals to lift a student or visitor ban are submitted to the University Secretary. The University Secretary convenes and Chairs the University Student Appeal Board. The following is a summary of the Committee's activity in 2017-2018:

- Clarified and provided training for Appeal Board members and created a roles and responsibilities document.
- Increased quality of appeal packages for Appeal Board members to give them a fuller picture of the incidents leading to the ban such as: academic record, summary of the events leading to the ban, safety reports, and obtaining a judicial matters and criminal records check from each individual appealing.
- At each Appeal Board, the Director of Student Affairs and the Sergeant of Training, Investigation and Case Manager provided a fulsome verbal report in addition to checking references for the individual appealing.
- The Appeal Board considered eight cases this year, with six bans upheld and two bans lifted.

## OFFICE MANAGEMENT

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The University Secretariat has had significant challenges with space, re-organization and budget in 2017-2018.

- **Space in Robertson Hall 607 has been a significant issue for the team.**
  - At the beginning of the year we started with a renovation to the copy room to allow access to the room from the suite as well as adding usable space for storage, and a small fridge and microwave.
  - With the addition of the Administrative Assistant to the office we set-up a desk in our reception area to allow for a workspace.
  - With the addition of the Access and Privacy Manager, the Corporate Archivist shared an office with the University Secretary until room 607e was reconfigured to allow three workstations.
  - The Corporate Archives Vault, which is running low on space and has no space for proper processing and accession is in progress of being cleaned and sorted.
  - Space has been negotiated with the Library to move the formal collection to the Library Ice House Storage Facility, which is essential for proper climate and humidity controlled environment for the vital records of the University.
  - Room 115 is to be assigned to the Corporate Archivist for processing and accessioning and reference space (date TBD).
- **Budget**
  - The University Secretariat has had significant issues with appropriate budget allocation with the majority of recurrent expenses being funded from fiscal budget or salary savings. The Secretariat Administrator and the University Secretary put significant effort in developing a budget submission for 2018/2019 which included an increase in base funding and two additional full-time continuing positions, which was successful.
- **Staffing**
  - There has been a significant amount of effort into to hiring in 2017-2018. With the resignation of the Corporate Archivist (and Assistant Privacy Officer) and the Secretary to Board and Senate.

- An interim Secretary to Board and Senate was appointed in July 2017. The position description was reviewed and re-graded and Kathy McKinley was appointed Assistant University Secretary in May 2018.
- The Corporate Archivist position was re-written, re-graded (split from Privacy) and Shannon Hodge was appointed Corporate Archivist in April 2018.
- An Administrative Assistant was hired in September 2017 to provide additional resource support during the Presidential Search process. The position justification, description and the budget was secured to have a full-time continuing position and Amanda Deeth was appointed in April 2018.
- A position justification, description and the budget was secured for a Communications Officer and interviews are underway.
- In light of the organizational changes in the office, the Secretariat Administrator and the University Secretary position will need to be reviewed in 2018/2019
- University Secretary served on the hiring committee for the Access and Privacy Management (incumbent Pierce White-Jonas)

## PROFESSIONAL DEVELOPMENT

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While balancing the work of the University Secretariat, our team was able to develop valuable relationships, conduct research and promote governance at Carleton. The following is a list of the key professional development that we have undertaken in 2017-2018:

- Active participation in the University Secretary List-serve (Amanda Goth)
- Attendance at the Governance Professionals of Canada (Aug. 21 - 23, 2017) (Amanda Goth)
- Attendance and Presenter at the Canadian University Boards Association Governance Professionals Development Day (April 5, 2018) (Amanda Goth & Kathy McKinley)
- Attendance at the Canadian University Boards Association Conference (April 6-7, 2018) (Amanda Goth & Kathy McKinley)
- Attendance at the Council of Ontario Universities Secretaries (COUS) Conference (November 16, 2017) (Amanda Goth)
- Member of the Planning Committee for COUS (Amanda Goth)
- Attendance at the Council of Ontario Universities (COU) Conference (November 17, 2017) (Amanda Goth)
- Attendance at the Association of Governance Professionals Board Professionals Day (Amanda Deeth & Barbara Steele)
- Attendance at AtoM database training (Shannon Hodge)
- Attendance at Big Blue Button training (Shannon Hodge)
- Attendance at Service Excellence for New Employees (Amanda Deeth)
- Attendance at Minutes Taking course (Amanda Deeth)
- Attendance at MS Excel for Advanced Users (Amanda Deeth)
- Attendance at the NAACO 2018 Conference (Kathy McKinley)
- Attendance at Carleton Leader stream 2 (Amanda Goth)
- Member of the Carleton Senior Management Committee (Amanda Goth)

## LOOKING AHEAD 2018/2019

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The Major focal points for the Board of Governors in the next year will be the following:

- Conducting the Best Practices Review with an external consultant
- Transitioning and onboarding the Chair of the Board
- Transition and onboarding the President and Vice-Chancellor (as well as support for the Presidential Transition Advisory Committee)

The Major focal points for senior executive searches in the next year will be the following.

- Successful completion of the Chancellor Search
- Establishment and completion of the Provost and Vice-President (Academic) search

The Major focal points for the Senate in the next year will be the following.

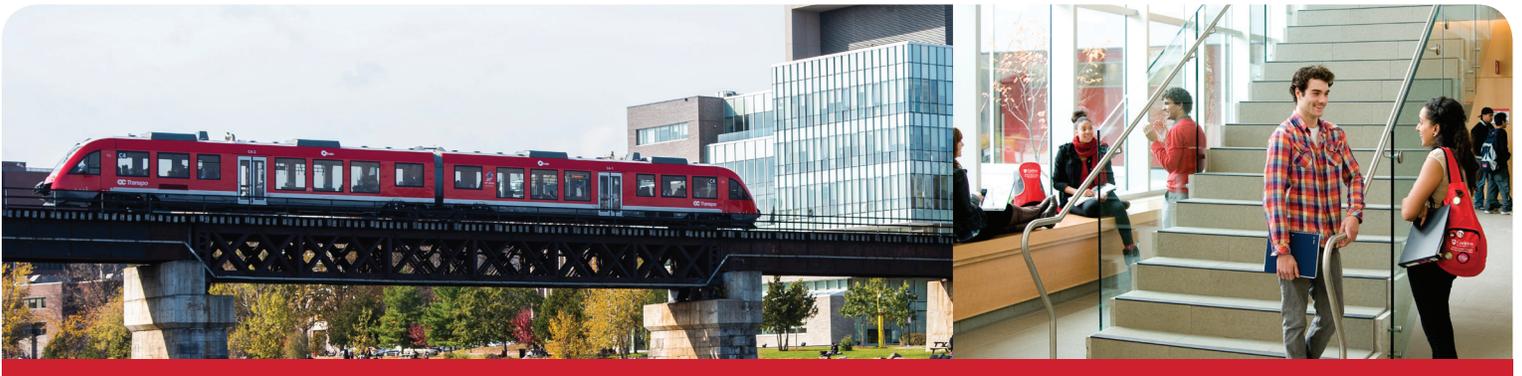
- Transitioning and onboarding the Clerk of Senate
- Procedural manual for the Senate Office

The Major focal points for the Corporate Archives in the next year will be the following.

- Processing of backlog in Corporate Archives including transfer of collection to the Library Storage Facility.
- Implementation and communication of retention schedule and AtoM Software.

Professional Development for University Secretary 2018-2019

- Governance Professionals of Canada Education Program
- Attendance at CUBA Conference 2019 (Full Secretariat will attend as it will be held in Kingston)
- Attendance at COUS and COU Conference 2018
- Attendance at Association of Governing Boards Workshop for Board Professionals 2019



## UNIVERSITY SECRETARIAT: ANNUAL REPORT