UNIVERSITY OF
TORONTO

Proposed Revisions

PLANNING AND BUDGET COMMITTEE TERMS OF REFERENCE[1]

1. MEMBERSHIP

1.1 Composition

Membership is about 26, including 2 lay members, 3 students, the Chair or Vice-Chair of the Committee on Academic Policy and Programs (*ex officio*) or the designate of the Chair of the Committee on Academic Policy and Programs, 12 teaching staff, 1 administrative staff, and 3 assessors selected by the President.

The composition of Planning and Budget Committee is as follows:[2]

	GOVERNING COUNCIL	NON-GOVERNING COUNCIL	TOTAL
Administrative Staff	0-1	1-0	1
Alumni	} 2	0	} 2
LGIC Appointees		0	
Teaching Staff	1-2	11-10	12
Students	1-2	2-1	3
Presidential Assessors			3
Ex Officio			
Chancellor			1
Chairman	1		1
Vice-Chairman	1		1
President	1		1
Other (from AP&P)	0-1	1-0	1
TOTAL			**26**

The President may appoint annually University Officers as non-voting assessor members of the Committee.

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[1] Also approved as part of the terms of reference of the Planning and Budget Committee (June 1994) was the following: "The proposal to merge the responsibilities of the present Budget and Planning and Priorities Committees is intended to eliminate existing overlaps in jurisdiction, which have resulted in a number of important issues being examined in an unnecessarily artificial manner in several forums. Equally important is the need to ensure that increasing demands for accountability can be responded to in an effective manner. To this end, the proposal entails additional delegation of authority with appropriate reporting to the Committee, streamlined approval processes and increased flexibility for the Chair of the Committee in agenda planning. Further opportunities in these areas should be identified as the new Committee begins to operate."

[2] Members of Governing Council may or may not be members of the Academic Board. Non-members of Governing Council must be members of the Academic Board.
   When sufficient governors are not available, the number of non-governor members is increased to the required total.
   The seats for 12 members of the teaching staff should be allocated between members elected to the Governing Council and/or the Academic Board and those who hold their seats *ex officio*, in the ratio of their seats on the Board: 8 elected teaching staff and 4 deans or principals.
   The total size of the Committee may be varied slightly, up or down, with the approval of the Chairman of Governing Council.

1.2 Term

Terms are for one year, beginning July 1, and may be renewed.

1.3 Chair and Vice-Chair

The Chair and Vice-Chair shall be appointed by the Academic Board.

2. QUORUM

One-third of the voting members (normally 9).

3. FUNCTION

The Committee, which reports to the Academic Board, is responsible for monitoring, reviewing and making recommendations concerning a broad range of planning issues and priorities and for the use of University resources (including, but not limited to: staff positions, funds, space and facilities, and campus lands). Many of the matters within the Committee's scope are matters that have an impact on relationships amongst divisions and relationships between the University and the community at large.

4. AREAS OF RESPONSIBILITY

4.1 Planning and Monitoring

The Committee is responsible for policy on planning. The Committee reviews and makes recommendations on the University's general planning framework.[3] Specific areas in which recommendations are made to the Academic Board include:

- policy on the organization of planning;
- statements of the University's mission or general objectives;
- statements of multi-year University principles and objectives for academic planning;
- guidelines for divisional academic plans;
- statements of general divisional objectives;
- enrolment plans and policies;
- long-range planning and/or (operating and capital) budget guidelines;
- strategic planning framework for research.

The Committee is responsible for monitoring planning activities and documents as may be required by general policy, as specified herein or by resolution of the Academic Board. Divisional academic plans are considered by the Committee and the Academic Board for

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[3] Individual academic plans are approved by the Vice-President and Provost .

information and feedback. Prior to approval by the Provost and presentation to the Committee, it is expected that the relevant divisional Council would endorse the academic plan in principle. The Committee receives periodic reports from the Vice-President and Provost on the implementation of academic plans.

The Committee reviews, on its own decision or on the recommendation of the Vice-President and Provost, the academic and budget plans of divisions in cases where a division is substantially altering its programs or having significant difficulty in implementing approved plans.

The Committee conducts periodic reviews of the budget plans of non-academic portfolios, to consider appropriateness of resources and effective and efficient use of resources in support of University plans and priorities. [Academic service areas, such as the Library, are the responsibility of the Committee on Academic Policy and Programs.]

4.2 Campus and facilities

4.2.1 Policy

Campus master plans and policy governing the approval of capital plans and projects are recommended to the Academic Board for consideration.

4.2.2 Capital guidelines and plans

Plans are recommended to the Academic Board for consideration.

4.2.3 Individual plans and projects

The Committee considers reports of project planning committees and recommends to the Academic Board approval in principle of projects (i.e. site, space plan, overall cost and sources of funds) with a capital cost as specified in the Policy on Capital Planning and Capital Projects. [The Business Board is responsible for approving the establishment of appropriations for individual projects and authorizing their execution within the approved costs.] The level of approval required is dependent on the cost of the project.[4] Significant changes to a space program/approved project require the same level of approval as the original proposal.

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[4]The current requirements, as defined in the Policy on Capital Planning and Capital Projects, are:

(a)   **Capital Projects**
- Capital projects with a projected cost of more than $2-million - Governing Council approval on the recommendation of the Academic Board and the Planning and Budget Committee.
- Capital projects with a total cost between $50,000 and $2-million - Accommodations and Facilities Directorate approval. All such projects shall be reported annually to the Governing Council through the Academic Board and the Planning and Budget Committee.
- Projects costing less than $50,000, in total, and funded by a unit, approved by the unit and reported to the Accommodations and Facilities Directorate. For small projects costing less than $3,000 the projects are, for reporting purposes, pooled and identified as small projects, with the total cost of such projects provided.

(b)   **Infrastructure Renewal Projects**
- Infrastructure Renewal projects with a projected cost of more than $2-million - Governing Council approval on the recommendation of the Academic Board and the Planning and Budget Committee.
- Infrastructure Renewal projects with a total cost between $50,000 and $2-million - Accommodations and Facilities Directorate approval.

4.3 Operating and designated funds

4.3.1 Budget guidelines

The Committee recommends to the Academic Board for consideration guidelines for long-range planning and budgeting that are the basis for the development of the University's annual Operating Budget.

4.3.2 Annual operating budget

The Committee considers for inclusion in the proposed Operating Budget the major components of the Budget, such as changes to Policies and Procedures for Budget Preparation, Contractual Obligations and Policy Commitments, allocation of Funds, General University Expenses, and Facilities Renewal Funds.

The annual budget is considered by the Committee for recommendation to the Academic Board. [Once the budget is recommended by the Academic Board, the concurrence of the Business Board is sought in regard to fiscal soundness before it is forwarded to Council.]

The Committee receives regular reports on the status of long-range budget guidelines, projections, and the strategic budget model.

4.3.3 Designated funds

The Committee is responsible for recommending to the Academic Board for consideration the creation and allocation of general University Funds established in the Operating Budget, Capital Renewal Fund or elsewhere.

4.4. Academic units and programs

4.4.1 The Committee recommends to the Academic Board on plans and proposals to establish, disestablish, or significantly restructure academic units, here defined as "faculties, schools, colleges, departments, centres and institutes with teaching, or teaching and research functions, undergraduate degree programs, and graduate degree programs", regardless of the source of funds.

4.4.2 Where a proposal for a new program, as defined by the University's Quality Assurance Process*, will have substantial resource implications requiring additions to a division's approved budget, or where there are significant effects outside of the division offering the program, the Committee advises the Academic Board on the planning and resource implications of the proposal and, if it deems it appropriate (a) concurs with the recommendation of the Committee on Academic Policy and Programs to the Academic Board that the proposed program be approved, and (b) where required, recommends the addition to the division's budget. [The Committee on Academic Policy and Programs has responsibility for considering the curricular aspects of academic program proposals.]

- A listing of all Infrastructure Renewal projects requiring attention shall be forwarded annually for information to the Governing Council through the Academic Board and the Planning and Budget Committee.

[Proposed program changes that would not require the allocation of additional resources from sources outside the division, and would not have significant effects outside of the division offering the program, do not require the attention of the Committee.]

* The University of Toronto's Quality Assurance Process [UTQAP], approved March 31, 2011 by the Ontario Universities Council on Quality Assurance, defines new programs as new undergraduate degrees, undergraduate specialists and majors, graduate programs and degrees, graduate diplomas, collaborative graduate programs, and new fields in existing graduate programs. This definition is subject to change. Any change will be reported to the Committee for information and reflected in an updated footnote..

4.5   Policy submissions to and agreements with external bodies

4.5.1 Submissions that establish new policy positions will be reviewed first by either the Committee or by another Governing Council body approved by the Executive Committee. In the case of the latter, the Committee shall be informed of the nature of the submission.

Submissions to external agencies that summarize existing policies and practices are the responsibility of the President and should be submitted for information to the appropriate body of Governing Council.

4.5.2 The Committee recommends to the Academic Board for consideration templates for agreements with external bodies. Individual agreements that do not conform to the template are reviewed by the Committee for recommendation to the Academic Board and confirmation by the Executive Committee. [Agreements that conform to the template are approved by the Vice-President and Provost.]

4.6 Incorporation of associated organizations and research ancillaries

The Committee recommends approval, in principle to the Academic Board. [The Business Board is responsible for matters concerning the arrangements for incorporation.]

4.7 Chairs and professorships

The Committee is responsible for making recommendations with respect to the *Policy on Endowed Chairs, Professorships, Lectureships and Programs*. Approval of the establishment of individual chairs, etc., which fully conform to the *Policy*, is delegated to the President, with annual reports to the Committee on approvals given. The Committee considers, for recommendation to the Academic Board, proposals that do not conform to the *Policy.*

4.8 Priorities for fundraising

The Committee recommends to the Academic Board, for concurrence with the Business Board, on the ranking of priorities for major fundraising campaigns. [Policy concerning University development and fundraising campaigns is within the authority of the Business Board. Plans for fundraising campaigns are approved by the Governing Council on the recommendation of the Business Board.]

5. PROCEDURES

The Committee usually meets in open session but may, pursuant to section 33 of By-Law Number 2, meet in closed session or *in camera* when: (i) matters may be disclosed at the meeting of such a nature, having regard to the circumstances, that the desirability of avoiding open discussion thereof outweighs the desirability of adhering to the principle that meetings be open to the public; or (ii) intimate financial or personal matters of any person may be disclosed at the meeting or any part thereof.

In establishing agendas for meetings of the Committee, the Chair normally will be advised by a planning group that includes the Vice-Chair, two other members of the Committee, recommended by the Academic Board Striking Committee and approved by the Academic Board, and the voting and non-voting assessors. The proposed agenda for a meeting, together with background documentation, is reviewed at an agenda planning group meeting scheduled ten to fourteen days prior to the Committee meeting.

~~The Chair of the Committee, with the advice of the Committee's agenda planning group and subject to the duly established authority of the Agenda Committee of the Academic Board, the Academic Board, and the Executive Committee of Governing Council, has the authority to interpret the terms of reference of the Committee with respect to whether an item should be placed on the Committee's agenda (for approval or discussion) or should be circulated for information and/or comment apart from the Committee's agenda.~~

5. PROCEDURES (cont'd)

The Chair of the Committee, with the advice of the Committee's agenda planning group and subject to the duly established authority of the Agenda Committee of the Academic Board, the Academic Board, and the Executive Committee of Governing Council, has the authority to interpret the terms of reference of the Committee with respect to whether an item should be placed on the Committee's agenda for recommendation to the Academic Board, for Committee approval or for information and discussion.

5.1 Consent agenda

The Chair may determine that an item should be placed on a "consent" portion of the agenda. Those items are not given individual consideration by the Committee, unless a member so requests. Rather, members with questions for clarification, or requests for further information, contact the assessor or other contact person shown on the item in advance of the meeting. Members with concerns who would like an item to be discussed by the Committee should notify the Secretary at least 24 hours in advance of the meeting. Upon the request of any member, the matter will be considered by the Board in the usual manner.

Where a consent item requires a resolution of the Committee, and where no member has requested consideration of the item in the usual manner, the motion will be placed before the Committee and seconded, and it will normally immediately proceed to a vote without introduction or discussion.

Where a consent item is for information only, and where no member has requested consideration of the item in the usual manner, the item will normally be taken as received by the Committee without introduction or discussion.

5.2 Additional Reports for Information

To keep members abreast of developments in a timely manner, certain reports for information required by these terms of reference and others as decided by the Chair from time to time will be considered by the members of the Committee following their electronic publication. Members will be notified once the reports are made available. Members who have questions about a report will be invited to contact the sponsor of the item. Members with concerns about the report who would like it to be discussed by the Committee should notify the Secretary at least fourteen days in advance of the next meeting to enable consideration by the agenda planning group. The report will be considered by the Committee at that meeting in the usual manner.

Revision Approved by Governing Council May 19, 2011