

To: Senate

From: Senate Operations Review Committee

Date: April 18, 2013

Re: Terms of Reference, Queen's University Planning Committee

In 2010 the Senate and the Board jointly created the Queen's University Planning Committee to integrate academic planning with the management of resources. A mandatory three-year review was imposed at its time of creation and the Senate Budget Review Committee was suspended during this time. To facilitate that review, those who have served as members of the QUPC over the past three years were asked to participate in an assessment of committee effectiveness.

During this assessment, the following concerns were identified:

- There was not strong agreement that the terms of reference were appropriate or clear
- The membership was divided over whether the skills and expertise of the membership was adequate
- There was a broad consensus that the committee is not working effectively
- Overall planning reporting was felt to be weak and adequate attention to the development of the budget prior to submission to the Finance Committee was an issue
- Overall satisfaction with the work of the committee was low

Given these concerns, the mandate for the QUPC has been examined over the past several months. During this period, the following cultural shifts were noted:

- The Board of Trustees, with its reduced size, has become highly engaged with strategy and has commissioned the Principal to develop an overall strategic framework for the University, to encompass existing strategic documents including the Academic Plan and the Strategic Research Plan
- The Board of Trustees will approve the Strategic Framework and a series of metrics to monitor progress against key strategic objectives contained within the foundational elements of the Framework
- The Board will closely monitor strategy through receipt of a dashboard of the metrics at each Board meeting
- The Board and the Senate, at the joint planning retreat in the fall of 2012, identified a desire for greater communication across the governing bodies
- Senate desires a greater level of transparency around strategy development and is seeking to both participate in that development, in accordance with the Board and Senate approved Purpose and Functions of Senate, and to adjust its own agendas toward discussion and consultation around issues which affect the University, as a whole
- In a recent survey of the Queen's senate members, 100% of the respondents indicated that the Senate should play a role in determining the future direction of the University, but only 58% of those respondents felt that Senate actual does play such a role

It was also noted during the 2012-13 year that senators expressed dissatisfaction with the extent to which Senate was contributing to the development of the University Budget. This is

consistent with the observation of senators in 2010 when the Senate Budget Advisory Committee was suspended due to the perceived inability to have any real input into the process through that body. The QUPC was intended to address this concern but the anecdotal evidence suggests that, to date, it has not been an effective vehicle for input.

Recommendations

A sense of optimism remains that the QUPC model, if adjusted, has the capacity to function well. As a joint Board-Senate body, the platform is well-suited to advance cross-constituency dialogue to foster a sense of shared governance rather than governance which is viewed as strictly bi-cameral and exclusionary.

Based on the forgoing, it is recommended that:

- QUPC's mandate for the review and recommendation of strategy prior to presentation at the Board or the Senate be strengthened
- The mandate of QUPC be refined to specify the specific strategic documents which the QUPC is largely concerned with, which will create a well-articulated annual workplan for the committee around strategy development and review
- QUPC engage in active review of the foundational strategies of the institution to ensure strategic planning is ongoing
- QUPC take on a larger role in campus planning and development to ensure that planning, development and strategy are aligned
- The membership of QUPC be adjusted to provide a better balance of Senate and Board participation, but that skills requirements be heightened to increase effectiveness in governance
- There be greater role definition as regards strategy and planning, to be reinforced by having the strategy aspects of a meeting chaired by the Principal and the planning and budgeting aspects chaired by the Provost
- The QUPC's role in the budget approval process be augmented so that it is no longer merely a sounding board but an integral part of the budget approval process

The work of the QUPC has been reviewed contemporaneously with the review of the current Campus Planning and Development Committee by a task force of the Board of Trustees' Governance and Nominating Committee.

That taskforce has completed its review and is making a series of recommendations to the Governance and Nominating Committee of the Board. Those recommendations include the following:

That the Campus Planning and Development Committee (CPDC) be retired; and,

That Role II of the Queen's University Planning Committee (QUPC) mandate be revised as attached.

The taskforce has undertaken a considerable amount of work to define the campus planning and development role that the QUPC would assume. Assumption of the governance aspects of this

role ensures the alignment between implementation and strategy discussed above, as well as increasing connections with the budget development and approval process for the University.

The draft revised mandates for QUPC and the Campus Planning Advisory Committee are appended and have been developed based on practices at Queen's as well as a review of the capital project planning and implementation frameworks in use by universities across Canada.

In summary, in fulfilling its planning and development role the new QUPC would:

- Review Major Capital Project proposals from the administration to ensure that, prior to submission to the Finance Committee of the Board of Trustees for final project approval, the project:
 - Supports the strategic and foundational plans of the University; and
 - Aligns with the Campus Master Plan and its supporting Architectural Control and Design Guidelines and Landscape Design Guidelines.
- Approve the siting, massing, architectural renderings, buildings schematics and other final exterior designs of projects which are:
 - Capital Projects which contain minor variances (as defined) from the Campus Master Plan, the Architectural Control and Design Guidelines and /or the Landscape Design Guidelines; and
 - Major Capital Projects that are wholly consistent with or contain minor variances (as defined) from the Campus Master Plan, the Architectural Control and Design Guidelines and /or the Landscape Design Guidelines;
- Recommend the siting, massing, architectural renderings, buildings schematics and other final exterior designs of projects that contain variances which are not minor (as defined) from the Campus Master Plan, the Architectural Control and Design Guidelines or Landscape Design Guidelines, should such variances be viewed as being in the best interests of the University, after appropriate consultation:
 - To the Board of Trustees in the case of Capital Projects; and
 - Through the Capital Assets and Finance Committee to the Board of Trustees in the case of Major Capital Projects;
- Recommend Major Capital Projects approvals to the Finance Committee, which will assess the business case for the project, including financing requirements and budgetary implications. The Finance Committee will then recommend projects to the Board of Trustees.
- Receive regular reports on the status of any major capital project under development, including percentage of budget expended over percentage of project complete, projected budgetary surpluses or deficiencies, the scope and scale of change orders issued, etc.
- Receive a final project report upon project close out for major capital projects, and a response to the report from management, which includes an identification of any lessons learned and a proposal for changes to practice or policy for future capital project development in light of the lessons learned.

The Board of Trustees approval will be required for this change to take place. The Board will consider this proposal at its meeting on May 10th. Approval of the approach by the Senate will also be required.

SORC recommends to Senate:

- 1. That the terms of reference for the Queen's University Planning Committee, as adopted by Senate on March 25, 2010, be revised in accordance with Appendix "B"; and,**
- 2. That the Senate Budget Advisory Committee be retired.**

Appendix A – Current QUPC Mandate

Queen's University Planning Committee

Approved by the Senate, March 25, 2010

Approved by the Board of Trustees, April 30, 2010

Mandate

The Queen's University Planning Committee (QUPC) is a joint committee of the University Senate and the Board of Trustees. Its major responsibility is to ensure that academic planning and the management of resources (people, money, space) are fully integrated. It ensures that decisions reached in the academic sphere and initiatives from individual faculties and units are made with full knowledge of the fiscal and infrastructure implications for the University as a whole. Furthermore, it enables the Board of Trustees to have a full understanding of the academic endeavours of the University.

The QUPC has two primary roles.

Its first role [I] is to review and comment, including making recommendations, on new and proposed plans, including the University Academic Plan, to the Senate and the Board of Trustees.

Its second role [II] is to serve in an advisory capacity for the University's budget development process. The QUPC will comment on whether the budget recommendations are congruent with the University Academic Plan.

Terms of Reference

The QUPC shall review, comment, and make recommendations to the Board of Trustees and Senate regarding the impact of the following on overall University planning and budgeting:

Role I

- a. the University Academic Plan and any major initiatives that have significant resource implications;
- b. annual planning reports from the Faculties, Library and other units as prescribed by the Provost and Vice-Principal (Academic);
- c. reports from the Vice-Principal (Research) on the major operations, institutes, and initiatives that receive significant support from the budget of the Vice-Principal (Research), and on the anticipated impact of new funding opportunities;
- d. the annual report from the Vice-Principal (Advancement) and future fund-raising priorities, including their relationship to the University Academic Plan;
- e. the Campus Plan and other reports and updates from the Campus Planning and Development Committee.

Role II

- f. annual planning reports as prescribed by the Vice-Principal (Finance and Administration), from those administrative and service units that report directly to the Vice-Principal (Finance and Administration);

- g. the development of the University budget before it is transmitted to the Board of Trustees' Finance Committee.

Administrative and Other Matters

1. Meet at least once every two months utilizing appropriate technologies to ensure that members are able to participate in the work of the QUPC.
2. The QUPC will function for an initial period of three years, at which time the Senate Operations Review Committee will review its value and make a recommendation to Senate to continue, modify or dissolve the QUPC.
3. The Senate Nominating Committee, the Board of Trustees Governance and Nominating Committee and the University Secretariat will be responsible for the election of members according to the established procedures of the Senate and of the Board of Trustees.
4. Faculty and staff will serve up to a three-year term; students up to a two-year term.

Composition of the QUPC

Elected :

One student, trustee or senator, elected by the student trustees and the student senators
One staff member, trustee or senator, elected by the staff trustees and the staff senators
One Dean elected by the Faculty Deans
One Faculty senator elected by the Faculty senators
One trustee proposed by the Board of Trustees Governance and Nominating Committee and elected by the Board of Trustees

Ex-Officio :

Provost and Vice-Principal (Academic), Chair of the QUPC
Principal and Vice-Chancellor
Chair of the Board of Trustees, or delegate
Chair of the Board of Trustees' Finance Committee, or delegate

Total membership: 9

Invited participants (non-voting) will include but are not limited to:

Vice-Principal (Finance and Administration)
University Registrar

Queen's University Planning Committee

Mandate

The Queen's University Planning Committee (QUPC) is a joint committee of the University Senate and the Board of Trustees. Its major responsibilities are to ensure that

- 1) planning is aligned with the management of resources
- 2) decisions are made with full knowledge of the fiscal and infrastructure implications
- 3) the Board of Trustees has a full understanding of the University's academic endeavours

The QUPC has two primary roles.

Its first role [I] is to oversee the development, and make recommendations to the appropriate governance body with jurisdiction for approval, of Strategic and Foundational plans designed to support achievement of the University's goals and priority objectives. Strategic and Foundational Plans shall consist of strategy-setting and planning documents which have targets or objectives which exceed any one academic year and which are approved by the Board of Trustees, the Senate, or both.

In this role, the Committee will be responsible for maintaining a process of continuous monitoring of progress against targets within the Strategic and Foundational plans, and ensuring effective communication of these matters to the Board of Trustees and the Senate.

Its second role [II] is to serve in an oversight capacity for :

- the annual Budget development process; and
- Major Capital Project approval and implementation

The QUPC will be responsible for ensuring that final budget recommendations and proposals for Major Capital Projects are consistent with the University's Strategic and Foundational Plans.

For the purposes of this Mandate, Major Capital Projects shall be defined as those projects falling within the scope of a process, as approved by the Board of Trustees, for the approval of Major Capital projects. Capital projects shall be defined as those projects which generally adhere to the definition of a Major Capital project but where the total value of the project falls below the threshold established in the process, as approved by the Board of Trustees, for the approval of Major Capital projects.

Terms of Reference

Role I – Establishing and Refreshing Strategy

The Committee shall:

- Receive review and endorse annual reports on initiatives under development, and the status of achievement of objectives established with respect to each of the following Strategic or Foundational Plans prior to their presentation to the Board of Trustees or the Senate:
 - The Academic Plan
 - The Strategic Research Plan
 - The Strategic Mandate Agreement
 - The Strategic Framework and the associated International Plan
 - The Campus Master Plan and supporting Architectural Control and Design Guidelines and Landscape Design Guidelines
 - The Strategic Enrolment Plan
 - Other plans as may be identified by the Board of Trustees/and or the Senate from time to time
- Regularly review progress under each of the constituent elements of the Strategic Framework using a monitoring tool (such as a dashboard) prior to those results being presented at each regular meeting of the Board of Trustees;
- Ensure that a broad-based consultative process is established, communicated and implemented during development or review of Strategic or Foundational Plans for the University;
- Ensure that the University's Strategic and Foundational Plans remain relevant to its situation and aspirations by establishing annual and multi-year work plans that ensure review, renewal and, where necessary, replacement of existing Strategic and Foundational Plans to be accomplished through a systematic and appropriately broad review of each Strategic or Foundational Plan is established and undertaken not less than three years, and not more than five years, after the initial establishment, or any subsequent review, of a Plan. Strategic planning for the University will be a continual process ; and
- Regularly consider whether additional Strategic or Foundational Plans are necessary and make recommendations in this regard, from time to time, to either the Board and/or the Senate, in accordance with their respective jurisdictions.

Role II – Monitoring the Implementation of Planning

Budget Development

The Committee shall:

- Review regular updates from the Provost on the work of the Provost’s Advisory Committee on the Budget and the development of the University’s budget
- Review the budget framework prepared by the University
- Ensure congruence between budget decisions and the University’s Strategic and Foundational Plans
- Ensure that the outcome of its review of the budget framework and its congruence with the University’s Strategic and Foundational Plans is made available to the Senate for discussion before it is transmitted by the Provost to the Capital Assets and Finance Committee of the Board
- Deliver the QUPC’s own budget recommendations to the Provost. Any such recommendations, together with any recommendations from the Senate, shall be included with the Provost’s submission to the Capital Assets and Finance Committee and the Board of Trustees, together with a response from the Provost

Campus Planning and Development Functions

The Committee shall be responsible for:

- Overseeing the development, and recommending approval to the Board of Trustees, of a Major Capital Projects Approval Process;
- The establishment of a permanent Campus Planning Advisory Committee (“CPAC”) to report to QUPC, through the Provost, in respect of the Major Capital Projects Approval Process and appointing the members thereof, on the recommendation of the Provost;
- Approving and overseeing a framework for the proper governance of Major Capital Project construction, including structures which ensure regular reporting of progress against the approved project scope and budget and a final project review report post project closeout;
- Reporting regularly to the Board of Trustees on Major Capital Projects which are under development and projected to proceed to the Board for approval in the future;
- Reviewing any proposal and business case for a Major Capital Project and ensuring that, prior to submission to the Capital Assets and Finance Committee of the Board of Trustees for final project approval:
 - The Major Capital Project supports the Strategic and Foundational Plans of the University;
 - The Major Capital Project is consistent with the Campus Master Plan and its supporting Architectural Control and Design Guidelines and Landscape Design Guidelines, represents a minor variance therefrom or otherwise is justified as being in the best interests of the University; and
 - The appropriate stakeholders have been consulted and their views taken into account
- Approving the appointment of project architects for Major Capital Projects on the recommendation of CPAC and the Provost;
- Approval of the siting, massing, architectural renderings, buildings schematics and other final exterior designs of projects which are:

- Capital Projects which contain minor variances (as defined) from the Campus Master Plan, the Architectural Control and Design Guidelines and /or the Landscape Design Guidelines; and
- Major Capital Projects that are wholly consistent with or contain minor variances (as defined) from the Campus Master Plan, the Architectural Control and Design Guidelines and /or the Landscape Design Guidelines;
- Recommending the siting, massing, architectural renderings, buildings schematics and other final exterior designs of projects that contain variances which are not minor (as defined) from the Campus Master Plan, the Architectural Control and Design Guidelines or Landscape Design Guidelines, should such variances be viewed as being in the best interests of the University, after appropriate consultation:
 - To the Board of Trustees in the case of Capital Projects; and
 - Through the Capital Assets and Finance Committee to the Board of Trustees in the case of Major Capital Projects;
- Recommending to the Board of Trustees, through the Capital Assets and Finance Committee, that it approve the budget for, and the undertaking of, Major Capital Projects;
- Reviewing regular reports from the Vice President (Finance and Administration) on the status of any Major Capital Project under development under the framework for the governance of Major Project construction, including percentage of budget expended and percentage of project complete, projected budgetary surpluses or deficiencies, the scope and scale of change orders issued and other matters impacting on the budget, scope and timeline for construction;
- Reviewing a final project report, upon close-out of a Major Capital Project which includes an identification of any lessons learned and a proposal for changes to practice or policy for future Major Capital Project development in light of the lessons learned.

Administrative and Other Matters

The Agendas for meetings of the Committee will generally be structured to address, firstly, items related to Role I and secondly, items related to Role II.

The Committee shall meet at least once every two months, utilizing appropriate technologies to ensure that all members are able to participate fully and effectively in the work of the QUPC.

The Committee will strive to achieve support for decisions and recommendations by not less than 70% of the members in attendance at a meeting of the Committee before an item proceeds to the Board and/or the Senate.

The Committee shall review its mandate and terms of reference at least annually and recommend changes to the Board of Trustees and the Senate, through their respective committee structures, where those changes would enhance the effectiveness of the QUPC.

The University Secretary shall ensure that a secretary to the Committee is appointed.

The QUPC shall, no later than March 31, 2016, conduct a review of its governance function, including the degree to which the Committee has fulfilled the mandate as specified herein, and report their observations and recommendations to the Board of Trustees and the Senate through their respective committee structures.

Composition of the QUPC

Elected:

Four QUPC members elected by, but not necessarily from, Senate, one of whom shall be a student, one of whom shall be a Dean and one of whom, in addition to the Dean, shall have demonstrated financial literacy (defined as the possession of knowledge and understanding of financial matters including the ability to read and understand financial statements and knowledge of financial concepts used in budgeting for large organizations).

Two QUPC members appointed, on the recommendation of the Board of Trustees' Governance and Nominating Committee, by and from the Board of Trustees, one of whom preferably to have demonstrated experience in real estate development, construction, project management, engineering or another field related to the planning and development of Major Capital Projects.

Faculty, staff and Trustees shall serve up to a three-year term; students up to a two-year term.

Ex-Officio:

Principal and Vice-Chancellor (Chair)
Provost and Vice-Principal (Academic)
Chair of the Board of Trustees, or delegate
Chair of the Board of Trustees' Finance Committee, or delegate

Total membership: 10

The Committee shall be supported by the Vice-Provost (Planning and Budgeting) and the Vice Principal (Finance and Administration), both of whom shall regularly attend its meetings.

Approved by the Senate, March 25, 2010. Revised XXXX

Approved by the Board of Trustees, April 30, 2010. Revised XXXX

Queen’s Campus Planning Advisory Committee Recommended Terms of Reference

Background

The University is in the process of developing a Campus Master Plan to guide future planning and development of the Kingston campuses of Queen’s University. A Campus Planning Advisory Committee has been established to provide the ongoing management of capital project planning, as well as landscape/grounds and outdoor art project planning, which ensures these projects adhere to campus planning policy. The Committee reports through the Provost to the Queen’s University Planning Committee (“QUPC”), and ensures that the QUPC is frequently informed of the progress in the planning of Major Capital Projects and that this planning is appropriately guided by the Campus Master Plan, Architectural Control Guidelines and Landscape Design Guidelines, as approved by the Board.

Committee Mandate

The Committee shall:

1. Regularly monitor, review and make recommendations to the Provost and QUPC concerning broad planning issues and priorities related to the Campus Master Plan as a key component of an integrated strategic planning framework.
2. Ensure communication and consultation with the Queen’s community (faculty, staff, students, alumni and trustees), and the City of Kingston community, including our hospital partners, when planning for all capital projects.
3. Regularly review and monitor campus planning and development activity in the context of the Campus Master Plan; review Capital Project plans for adherence to the overall planning principles and strategies; ensure appropriate consultation with, and make recommendations to, QUPC for amendments to the Campus Master Plan, Architectural Control Guidelines and Landscape Design Guidelines as necessary and relevant.
For the purposes of this Mandate, Major Capital Projects shall be defined as those projects falling within the scope of a process, as approved by the Board of Trustees, for the approval of Major Capital projects. Capital projects shall be defined as those projects which generally adhere to the definition of a Major Capital project but where the total value of the project falls below the threshold established in the process, as approved by the Board of Trustees, for the approval of Major Capital projects.
4. Report regularly to support ongoing accountability, through the Provost, to the QUPC.
5. Ensure communication and profile for the Campus Master Plan as a living document and a critical component of the University’s integrated strategic planning framework.
6. Oversee implementation of the Board approved Major Capital Project Approvals Process up to the point of making a recommendation to QUPC through the Provost.
7. Review proposals for all Capital Project approvals and ensure the following prior to final project approval:
 - a. The Capital Project supports the strategic and foundational plans of the University; and,

- b. The Capital Project is consistent with the Campus Master Plan and its supporting Architectural Control and Design Guidelines and Landscape Design Guidelines or, where there are minor variances, to propose approval of these variances to QUPC.
8. Review and provide advice to the administration on the procurement process for project architects in support of the planning and design of all Capital Projects and to recommend the appointment of architects to the Provost in respect of Capital Projects and to QUPC in respect of Major Capital Projects.
9. Bring recommendations to QUPC through the Provost regarding the siting, massing, architectural renderings, buildings schematics and other final exterior designs of Major Capital Projects.
10. Bring recommendations to the Provost regarding the siting, massing, architectural renderings, buildings schematics and other final exterior designs of Capital Projects which are wholly consistent with the Campus Master Plan, the Architectural Control and Design Guidelines and the Landscape Design Guidelines.
11. Bring recommendations to QUPC, through the Provost, regarding the siting, massing, architectural renderings, buildings schematics and other final exterior designs of:
 - a. Capital Projects which contain minor variances (as defined) from the Campus Master Plan, the Architectural Control and Design Guidelines and /or the Landscape Design Guidelines;
 - b. Major Capital Projects which are wholly consistent with or contain minor variances (as defined) from the Campus Master Plan, the Architectural Control and Design Guidelines and /or the Landscape Design Guidelines; and
 - c. Capital Projects, major or otherwise, to QUPC where these contain non-minor variances (as defined) from the Campus Master Plan, the Architectural Control and Design Guidelines or Landscape Design Guidelines, should such variances be viewed as being in the best interests of the University, after appropriate consultation.
12. Advise the Associate Vice Principal(Facilities) on matters regarding campus grounds development and outdoor art projects and issues involving major public spaces or which have a public impact such as projects that will affect or change the appearance, configuration or use of campus grounds and grounds-related facilities including:
 - a. conformance of such projects to the Campus Master Plan and its supporting Architectural Control and Design Guidelines and Landscape Design Guidelines;
 - b. responding to campus grounds issues and to suggest new projects to further implementation of the campus plan; and
 - c. providing a balance between the needs and priorities of campus user groups and the overall functional and aesthetic considerations as laid out in the Campus

Master Plan and its supporting Architectural Control and Design Guidelines and Landscape Design Guidelines.

Grounds projects within the purview of the Campus Planning Advisory Committee include, but are not limited to:

- d. New projects and construction, including walkways, vehicle access, parking and open space including sports and recreation related facilities;
- e. Alterations and renovations to existing grounds, including walkways, vehicle access, parking and open space including sports and recreation facilities;
- f. Maintenance projects that have a potential impact on grounds including walkways, vehicle access, parking and open space including sports and recreation related facilities;
- g. The quality of landscaping and grounds in general, including the planning, design, and maintenance of landscaping and grounds.

The responsibility of the Committee with respect to grounds further extends to:

- h. Issues related to safety and accessibility on campus grounds;
- i. The lighting of campus grounds and exterior of buildings; and,
- j. Exterior site furniture and exterior signage.

13. Establish or dissolve standing or special purpose subcommittees from time to time.

The Grounds Committee, which was a subcommittee of the former Campus Planning and Development Committee of the Board, is dissolved.

The Outdoor Art Advisory Committee is hereby established as a standing subcommittee to the Queen's Campus Planning Advisory Committee.

Membership

Chair – as recommended by the Provost

Vice-Provost, Planning and Budget

Associate Vice-Principal (Facilities)

Vice-Principal, Research delegate

Vice-Principal, Advancement delegate

1 Dean

3 Faculty and 2 Staff Members, one of whom shall be a Senate appointee to the QUPC

Sustainability Manager

A member of the Equity Office with training in accessibility in the built environment as recommended by the Director of that Office

2 Students, one to be recommended by the AMS, one to be recommended by the SGPS

Not more than four external or internal parties who may have demonstrated experience in one or more of the following areas: Real Estate Development, Urban Planning, Construction, Engineering, Architectural Design and Project Management, Urban Design, Landscape Design and Heritage