



**UNIVERSITY OF MANITOBA
PROCEDURE**

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| Procedure: | DEANS OF FACULTIES, AND DIRECTORS OF SCHOOLS OF THE UNIVERSITY: APPOINTMENT AND REVIEW |
| Parent Policy: | Deans of Faculties and Directors of Schools of the University: Appointment and Review |
| Effective Date: | January 25, 2005 |
| Revised Date: | |
| Review Date: | January 25, 2015 |
| Approving Body: | President |
| Authority: | Policy: Deans of Faculties and Directors of Schools of the University: Appointment and Review |
| Responsible Executive Officer: | Vice-President (Academic) and Provost |
| Delegate: (If applicable) | |
| Contact: | Vice-President (Academic) and Provost |
| Application: | Senior Administrative Academic Staff |

**Part I
Reason for Procedure**

To set out procedures secondary to the Policy entitled "Deans of Faculties and Directors of Schools of the University: Appointment and Review", in connection with:

- a) the search and appointment of the Deans of Faculties and Directors of Schools of the University (Deans and Directors);
- b) the reappointment review of the Deans and Directors;
- c) the special review of the Deans and Directors, where the President initiates same; and
- d) the appointment of an Acting Dean or Acting Director.

Part II Procedures

2.1 Search

2.1.1 When the position of the Dean or Director becomes vacant for any reason (including when a reappointment is not recommended), the President shall initiate a search for a Dean or Director by an Appointment Advisory Committee to advise the President on the appointment.

2.1.2 The President, having considered all the relevant factors, including current and prospective University budgets, may determine at the outset that the appointment be limited to persons holding a continuing full-time position within the University.

2.2 Membership of the Appointment Advisory Committee

2.2.1 Composition: The Appointment Advisory Committee for a Dean or Director shall be constituted by the President and shall consist of:

- a) the Vice-President (Academic) and Provost, or delegate, as Chair of the Committee;
- b) five (5) persons elected by, not necessarily from, the academic staff of the faculty, school or division from which the President shall select four (4) to serve on the Committee. If one of these members is unable to fulfill their term, the fifth person shall serve as an alternate;
- c) one person elected by and from the support staff of the faculty, school or division;
- d) one graduate student, elected or appointed by the Graduate Students Association and/or Professional Association of Residents and Interns of Manitoba (PARIM), where appropriate; for the Dean of the Faculty of Graduate Studies, the committee shall include three (3) graduate students elected or appointed by the Graduate Students' Association;
- e) one undergraduate student elected or appointed by the relevant student organization; except for the Dean of the Faculty of Graduate Studies Committee; and
- f) normally up to four (4) persons appointed by the President to represent the broader interests of the University, including those of the professional and/or community interests.

2.2.2 Not Eligible to Serve: The following persons are not eligible to serve on the Appointment Advisory Committee:

- a) the incumbent Dean or Director
- b) the members of the Reappointment Review Committee excepting the Chair, where the incumbent Dean or Director intends to be an applicant; and
- c) any person who is an applicant or otherwise seeks appointment as the Dean or Director. Any such person who is already a member of the Appointment Advisory Committee must resign.

2.2.3 Gender Balance: There shall be at least two (2) persons of each gender, wherever possible; although there shall be always be at least one (1) person of each gender exclusive of any student participation.

2.2.4 Acceptance of Membership: Acceptance of membership on the Appointment Advisory Committee shall constitute an undertaking to support the effective and timely operation of the Committee.

2.2.5 Conflict of Interest: If circumstances arise in which a member of the Appointment Advisory Committee has, or may be perceived to have, a conflict of interest which could compromise the member's ability to fulfill his/her responsibilities on the Committee, the member shall disclose the nature of the conflict to the Chair, who in consultation with the President, shall determine whether continuing membership is appropriate.

2.2.6 Vacancies: Should a vacancy occur on the Appointment Advisory Committee, the Chair shall so inform the President who shall request the relevant constituency to fill the vacancy, unless an alternate was named in advance.

2.3 Proceedings and Deliberations of the Appointment Advisory Committee

2.3.1 Quorum: The quorum for any meeting of the Appointment Advisory Committee shall be 2/3 of the voting membership.

2.3.2 Voting:

- a) Questions arising at a meeting of the Appointment Advisory Committee shall be decided by a majority of votes.
- b) The Chair shall vote only in situations where a deciding vote is required.

2.3.3 No Constraint on Voting: Where a member of the Appointment Advisory Committee is a representative of the constituency from which they are elected/appointed, the member cannot be constrained to vote as directed or desired by the constituency. Nonetheless, nothing prohibits a constituency from providing its collective advice to the Committee, through the Chair.

2.3.4 Confidentiality: The following confidentiality obligations shall apply to the Appointment Advisory Committee:

- a) all proceedings of the Appointment Advisory Committee shall be confidential;
- b) no release of confidential information relating to the proceedings of the Appointment Advisory Committee shall occur without the authorization of the Committee. Any release of information shall occur only through the Chair following approval by the President;
- c) if confidentiality is breached, the Chair shall so advise the President who may take such action as deemed appropriate, including dissolving and replacing the Committee.

2.3.5 Consultation/Interviews: The following shall apply to the Appointment Advisory Committee in carrying out its search and appointment responsibilities:

- a) prior to advertising the position, the Appointment Advisory Committee shall consider:
 - (i) the administrative and academic needs and priorities of the faculty, school or division;
 - (ii) the desired qualifications and qualities of a Dean or Director; and
 - (iii) the processes the Committee intends to use.
- b) the Appointment Advisory Committee may interview the outgoing Dean or Director;
- c) prior to considering any names of applicants or nominees the Appointment Advisory Committee shall:
 - (i) establish the criteria against which it will assess applicants and nominees; and
 - (ii) determine what, if any, public elements it shall require in the assessment process. The particulars of any such public elements must be communicated to applicants and nominees.
- d) following assessment of applications and nominations against the criteria, the Appointment Advisory Committee will identify candidates whom it wishes to interview; and
- e) the Chair of the Appointment Advisory Committee shall inform the President about the identity and background of the interviewees, the schedule of interviews, and shall provide the President with the

opportunity to meet with the candidates whom the Appointment Advisory Committee wishes to interview.

2.3.6 Unable to Complete Deliberations: If the Appointment Advisory Committee is unable to complete its deliberations in a satisfactory manner, the Chair shall so advise the President who may take such action as deemed appropriate, including dissolving and replacing the Committee.

2.3.7 Report/Recommendation: Upon completion of the work of the Appointment Advisory Committee, the Chair shall submit to the President a written report which includes the following:

- a) a Summary of Search Form;
- b) a summary of the interview with the outgoing Dean or Director, if applicable;
- c) the criteria against which applicants and nominees were assessed;
- d) a copy of the search advertisement;
- e) the names(s) of the candidate(s), in rank order, that the Committee recommends be offered the appointment; and
- f) the rationale for the recommendation(s), including the level of support within the Committee and the reasons for any dissent.

2.3.8 If the President does not wish to recommend any of the candidates submitted by the Appointment Advisory Committee, the President may cause another Appointment search to be conducted.

2.3.9 Records: Upon completion of the work of the Appointment Advisory Committee, the Chair shall collect and hold for a period of twelve (12) months:

- a) all materials distributed to and any notes written by Committee members (including the Chair); and
- b) any other materials relevant to the Committee's work. If the Chair is a delegate of the Vice-President (Academic) and Provost, the Chair shall forward the foregoing materials and notes to the Vice- President (Academic) and Provost.

REAPPOINTMENT REVIEW PROCEDURES:

2.4 Reappointment Review

If the Vice-President (Academic) and Provost advises the President that the incumbent Dean or Director wishes reappointment, then the President shall initiate a reappointment review by a Reappointment Advisory Committee to advise the President.

2.5 Membership of the Reappointment Advisory Committee

2.5.1 Composition: The Reappointment Advisory Committee for the Dean or Director shall be constituted by the President and shall consist of:

- a) the Vice-President (Academic) and Provost, or delegate, as Chair of the Committee;
- b) five (5) persons elected by, not necessarily from, the academic staff of the faculty, school or division from which the President shall select four (4) to serve on the Committee. If one of these members is unable to fulfill their term, the fifth person shall serve as an alternate;
- c) one person elected by and from the support staff of the faculty, school or division;
- d) one graduate student elected or appointed by the Graduate Students Association and/or PARIM, where appropriate; for the Dean of the Faculty of Graduate Studies, the committee shall include two (2) graduate students elected or appointed by the Graduate Students' Association;
- e) one undergraduate student elected or appointed by the relevant student organization except for the Dean of the Faculty of Graduate Studies Committee; and
- f) normally up to three (3) other persons appointed by the President to represent the broader interests of the University, including professional and/or community interests.

2.5.2 Gender Balance: There shall be at least two (2) persons of each gender, wherever possible; although there shall be always be at least one (1) person of each gender exclusive of any student participation.

2.5.3 Acceptance of Membership: Acceptance of membership on the Reappointment Advisory Committee shall constitute an undertaking to support the effective and timely operation of the Committee.

2.5.4 Conflict of Interest: If circumstances arise in which a member of the Reappointment Advisory Committee has, or may be perceived to have, a conflict

of interest which could compromise the member's ability to fulfill his/her responsibilities on the Committee, the member shall disclose the nature of the conflict to the Chair, who in consultation with the President, shall determine whether continuing membership is appropriate.

2.5.5 Vacancies: Should a vacancy occur on the Reappointment Advisory Committee, the Chair shall so inform the President who shall request the relevant constituency to fill the vacancy, unless an alternate was named in advance.

2.6 Proceedings and Deliberations of the Reappointment Advisory Committee

2.6.1 Quorum: The quorum for any meeting of the Reappointment Advisory Committee shall be 2/3 of the membership.

2.6.2 Voting:

- a) Questions arising at a meeting of the Reappointment Advisory Committee shall be decided by a majority of votes.
- b) The Chair shall vote only in situations where a deciding vote is required.

2.6.3 No Constraint on Voting: Where a member of the Reappointment Advisory Committee is a representative of the constituency from which he/she is elected or appointed, the member cannot be constrained to vote as directed or desired by the constituency. Nonetheless, nothing prohibits a constituency from providing its collective advice to the Committee, through the Chair.

2.6.4 Confidentiality: The following confidentiality obligations shall apply to Reappointment Reviews:

- a) all proceedings of the Reappointment Advisory Committee shall be confidential;
- b) no release of confidential information relating to the proceedings of the Reappointment Advisory Committee shall occur without the authorization of the Committee. Any release of information shall occur only through the Chair following approval by the President;
- c) if confidentiality is breached, the Chair shall so advise the President who may take such action as deemed appropriate, including dissolving and replacing the Committee.

2.6.5 Consultation/Interviews: The following shall apply to the Reappointment Advisory Committee in carrying out its review responsibilities:

- a) the Reappointment Advisory Committee shall invite comments and advice from members of the faculty, school or division including those of faculty, staff and students. In addition, the Committee may invite

comments from other relevant constituencies of the University and the external community;

- b) the Reappointment Advisory Committee shall have access to information relating to the faculty, school or division and the performance of the incumbent, including:
 - (i) annual reports of the faculty, school or division; and
 - (ii) a summary of activity reports and performance appraisals of the incumbent as prepared by the Vice-President (Academic) and Provost; and
- c) the Reappointment Advisory Committee shall conduct an interview with the incumbent Dean or Director.

2.6.6 Unable to Complete Deliberations: If the Reappointment Advisory Committee is unable to complete its deliberations in a satisfactory manner, the Chair shall so advise the President who may take such action as deemed appropriate, including dissolving and replacing the Committee.

2.6.7 Report/Recommendation: Upon completion of the work of the Reappointment Advisory Committee, the Chair shall submit to the President a written report which includes the following:

- a) a summary of the comments and information reviewed by the Committee;
- b) a summary of the interview with the incumbent Dean or Director;
- c) the recommendation for:
 - (i) the reappointment of the incumbent Dean or Director, or
 - (ii) the search for a Dean or Director, which may include the incumbent as an applicant; and
- d) the rationale for the recommendation, including the level of support and the reasons for any dissent.

2.6.8 Records: Upon completion of the work of the Reappointment Advisory Committee, the Chair shall collect:

- a) all materials distributed to and any notes written by Committee members (including the Chair); and
- b) any other materials relevant to the Committee's work. If the Chair is a delegate of the Vice-President (Academic) and Provost, the Chair shall

forward the foregoing materials and notes to the Vice- President (Academic) and Provost.

SPECIAL REVIEW PROCEDURES:

2.7 Special Review

2.7.1 Where serious administrative problems arise in the faculty, school or division which relate to the performance of the Dean or Director, and the situation cannot be resolved informally, the President may initiate a special review of the Dean or Director by a Special Review Advisory Committee.

2.8 Membership of the Special Review Advisory Committee

2.8.1 Composition: The Special Review Advisory Committee shall be constituted by the President and may include representatives of faculty, staff and students of the University, but not of the faculty, school or division in question. The President or a delegate of the President shall serve as the Chair of the Special Review Advisory Committee.

2.8.2 Gender Balance: There shall be at least two (2) persons of each gender, wherever possible, although there shall be always be at least one (1) person of each gender exclusive of any student participation.

2.8.3 Acceptance of Membership: Acceptance of membership on the Special Review Advisory Committee shall constitute an undertaking to support the effective and timely operation of the Committee.

2.8.4 Conflict of Interest: If circumstances arise in which a member of the Special Review Advisory Committee has, or may be perceived to have, a conflict of interest which could compromise the members ability to fulfill his/her responsibilities on the Committee, the member shall disclose the nature of the conflict to the President or the delegate who, in consultation with the President (if a delegate), shall determine whether continuing membership is appropriate.

2.8.5 Vacancies: Should a vacancy occur on the Special Review Advisory Committee, the President shall appoint a replacement.

2.9 Proceedings and Deliberations of the Special Review Advisory Committee

2.9.1 Quorum: The quorum for any meeting of the Special Review Advisory Committee shall be 2/3 of the voting membership.

2.9.2 Voting:

- a) Questions arising at a meeting of the Special Review Advisory Committee shall be decided by a majority of votes.

- b) The Chair shall vote only in situations where a deciding vote is required.

2.9.3 No Constraint on Voting: A member of the Special Review Advisory Committee cannot be constrained to vote as directed or desired by the constituency from which they are drawn. Nonetheless, nothing prohibits a constituency from providing its collective advice to the Committee, through the Chair.

2.9.4 Consultation: The Special Review Advisory Committee shall consult with such persons as it deems advisable, including students, and faculty and staff of the faculty, school or division. The incumbent shall be invited to make a submission to, and to meet with, the Special Review Advisory Committee.

2.9.5 Report/Recommendations:

- a) The Special Review Advisory Committee shall complete its deliberations and submit its report to the President within 30 working days of its establishment. The report shall include:
 - (i) recommendations for the resolution of the problem, and
 - (ii) rationale for the recommendations, including the level of support within the Committee and the reasons for any dissent.
- b) On receipt of the report, the President shall meet with the incumbent to discuss the report and any action which might be contemplated by the President.

2.9.6 Records: Upon completion of the work of the Special Review Advisory Committee, the Chair shall collect:

- a) all materials distributed to and any notes written by Committee members (including the Chair); and
- b) any other materials relevant to the Committee's work. If the Chair is a delegate of the President, the Chair shall forward the foregoing materials and notes to the President.

ACTING DEAN OR DIRECTOR PROCEDURES:

2.10 Procedures Before Recommending an Acting Dean or Director

2.10.1 When the position of a Dean or Director becomes vacant for any reason, the Vice-President (Academic) and Provost:

- a) may recommend to the President the appointment of an Acting Dean or Director who shall assume the responsibilities of office pro tem; and
- b) before making such recommendation, shall seek advice from the faculty and staff of the academic unit.

2.10.2 The President shall take the foregoing into consideration respecting the appointment of an Acting Dean or Director.

Part III Accountability

- 3.1** The University Secretary is responsible for advising the President that a formal review of these Procedures is required.
- 3.2** The President is responsible for ensuring compliance with these Procedures.
- 3.3** The President is responsible for ensuring the conduct of the reviews and the search set out in these Procedures.
- 3.4** The Vice-President (Academic) and Provost is responsible for
 - a) canvassing the incumbent Dean or Director to determine if the incumbent wishes reappointment and making related recommendations to the President;
 - b) collecting materials as set out in Sections 2.3.8 and 2.6.9 of these Procedures;
 - c) seeking advice on and recommending the appointment of, an Acting Dean or Director; and
 - d) anything delegated to him/her by the President in relation to these Procedures.

Part IV Review

- 4.1** Formal Procedure reviews will be conducted every ten (10) years. The next scheduled review date for these Procedures is January 25, 2015.
- 4.2** In the interim, these Procedures may be revised or rescinded if:
 - a) the Approving Body deems necessary (or the President deems necessary, where the approving body is the Administration); or
 - b) the relevant Bylaw, Regulation(s) or Policy is revised or rescinded.

Part V
Effect on Previous Statements

5.1 These Procedures supersede the following:

- a) all previous Board/Senate Procedures, and resolutions on the subject matter contained herein; and
- b) all previous Administration Procedures, and resolutions on the subject matter contained herein.
- c) Policy: Appointment of Deans of Faculties and Directors of Schools

Part VI
Cross References

Cross referenced to:

Policy: Deans of Faculties and Directors of Schools of the University: Appointment and Review

Bylaw: Deans of Faculties

Bylaw: Directors of Schools of the University