

INFORMATION REPORT

TO: Academic Council

DATE: January 19, 2016

**FROM: Nadia Jagar, Policy Analyst & Compliance Officer and
Becky Dinwoodie, Assistant University Secretary**

SUBJECT: Policy on Senior Academic Administrative Appointments and Related Procedures

A. Purpose

To provide background information with respect to the development and consultation of the Policy on Senior Academic Administrative Appointments and related procedures.

B. Background/Context

Draft procedures for the appointment of the Associate Provost, Dean of Graduate Studies and Faculty Deans were first presented to Academic Council (AC) on February 24, 2015.

Following the AC meeting, the President and Provost asked the Secretariat to review the draft procedures. After discussion and considering input from Academic Council, it was agreed that it would be helpful to establish a guiding Policy document that will set out the principles related to all senior appointments (associate provost, deans, vice-presidents and associate/assistant vice-presidents), accompanied by a supporting set of appointment procedures for each position.

Two key advantages were identified for proceeding in this way:

- Development of a parent policy allows the University to define key policy principles related to the appointment of senior administration and to keep these separate from the procedural elements;
- Having a Policy that defines “Senior Appointments” will help to delineate boundaries under s. 9(2) of the Act with regard to where specific Board approval is needed in the appointment of faculty and administrative staff.

In Summer 2015, the Secretariat undertook additional benchmarking research to determine what other institutions do regarding the level of approval of senior leadership/administration roles (e.g. what level of positions require Board approval).

Benchmarking was conducted against the following institutions:

- Ryerson University
- University of Toronto
- McMaster University
- Brock University
- University of Guelph
- Western University

- Nipissing University
- University of British Columbia
- Dalhousie University

The following are the key findings based on an analysis of the governing documents (Acts and By-Laws) and policies of the identified institutions,

- Only two institutions (UofT and Guelph) have developed a single Policy for both academic and non-academic appointments, but otherwise the majority of institutions only maintain policies and procedures specific to senior academic appointments.
- The governing documents (Acts or By-Laws) of the majority of institutions reviewed include specific language allowing the delegation of authority for appointments to the President, or approved delegate, where it is considered proper by the Board.
 - These delegations may be confirmed in By-Laws (e.g. Guelph) and/or at the Policy level (e.g. Brock).
- Approval at the level of Vice-President, and other specified University Officers, remains the authority of the Board at all institutions, subject to recommendation by the President as specified in the governing documents.

C. Recommendations & Approach

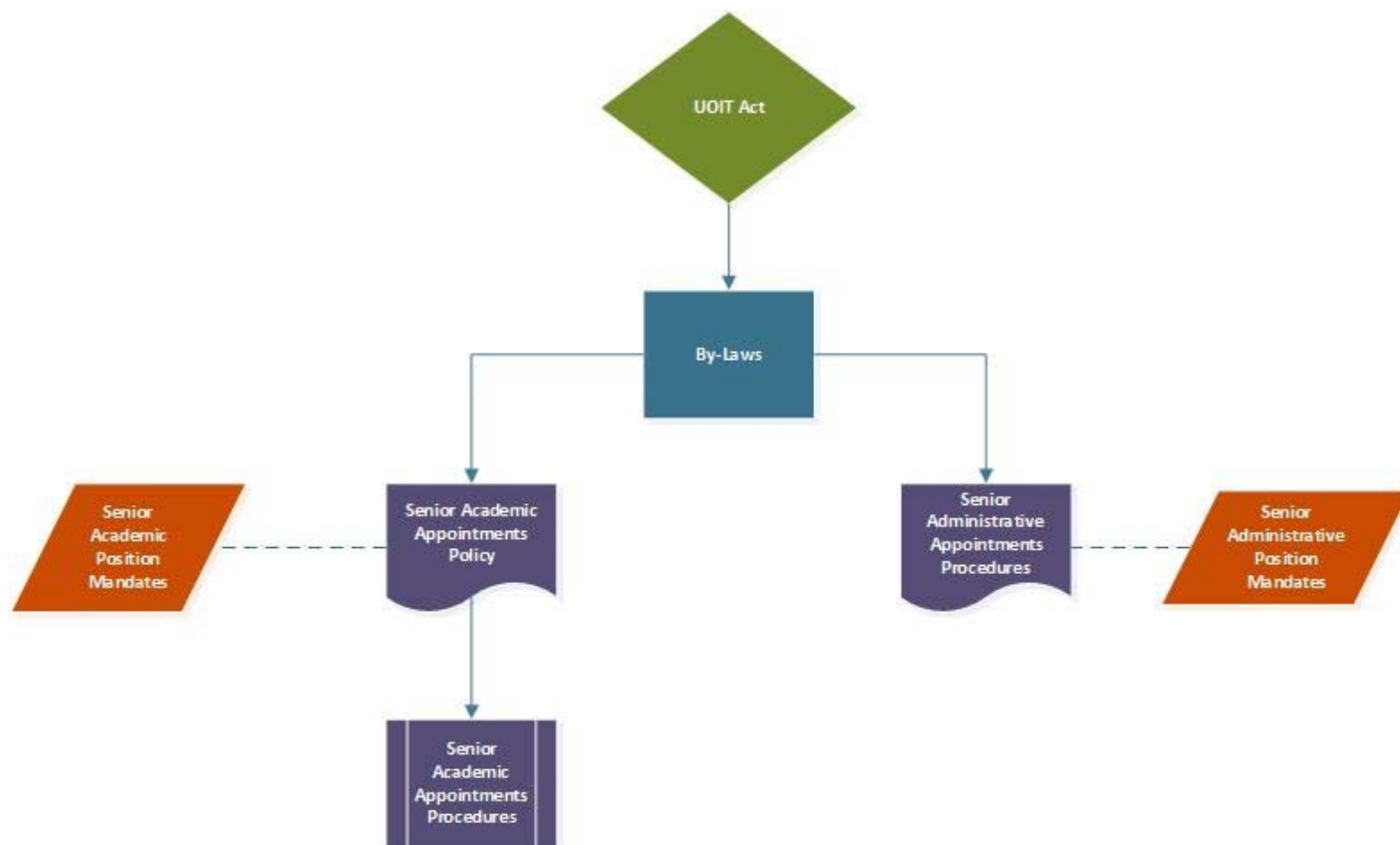
Based on the above, the following recommendations and approach were developed to provide a structure that will guide the appointment of senior administration (academic and non-academic), to support interpretation and implementation of s. 9(1) and 9(2) and provide greater clarity regarding delegation of authority for appointments at all senior level administrators at the University.

1. A separate Senior Academic Administrator Appointments Policy would be developed based on the substantive content included in the draft Procedures that were presented to AC in February 2015.
2. The draft Procedures presented in February 2015 be further separated into distinct Appointment Procedure and Position Mandate documents for each of the respective positions.
3. The need to address administrative senior appointments would be flagged as an issue for the By-Law Review Working Group with the recommendation to review, and potentially amend, the section of the By-Laws referring to Officers of the University in order to identify the positions considered the senior administration of the University (e.g. vice-presidents) and specify the requirements of Board approval, upon recommendation by the President, for these positions.
4. Consideration be given to the development of appointment Procedures for other Senior Administrative positions, subject to any changes to the By-Laws as noted above.

D. Consultation to Date

Date	Committee	Notes
February 24, 2015	Academic Council	Initial presentation and discussion of Draft Procedures (Associate Provost, Dean of Graduate Studies, Faculty Deans)
October 20, 2015	Academic Council	Update provided to Academic Council regarding the approach to separate the previously viewed procedures into a separate overarching policy and procedure documents.
November 3, 2015	Academic Council Executive	Draft copies of Policy, Procedures and Mandate Documents provided to ACX for review and feedback.
January 5, 2016	Academic Council Executive	Draft copies incorporating revisions/recommendations from ACX and D. Saucier presented to ACX.

E. Proposed Policy Document Hierarchy





Item	X.XX
Framework Category	Administrative
Approving Authority	Senior Leadership Team
Policy Owner	President
Approval Date	DRAFT
Review Date	
Supersedes	Academic Staff Employment Policy (s. 1.12; November 2006).

POLICY ON SENIOR ACADEMIC ADMINISTRATIVE APPOINTMENTS

PURPOSE

1. The purpose of this Policy is to establish the principles that support the appointment of Senior Academic Administrators within the University.

DEFINITIONS

2. For the purposes of this Policy the following definitions apply:

“Senior Academic Administrative Position” means any of the following positions:

- Vice-President, Academic and Provost;
- Associate Provost;
- Dean;
- Vice-President with the designated responsibility for overseeing the University research function;
- Any other position as designated and approved in accordance with the UOIT Act and By-Laws.

“Senior Academic Administrator” means a person who holds a Senior Academic Administrative Position.

SCOPE AND AUTHORITY

3. This Policy applies to the appointment of any Senior Academic Administrative Position.
4. The President is the Policy Owner and is responsible for overseeing the implementation, administration and interpretation of this Policy.

POLICY

Senior Academic Administrators will be appointed for their intellectual and administrative abilities, devotion to university education and research, judgment and qualities of leadership. It is expected that they will have the ability to create an environment conducive to the University’s academic growth and operational success, as well the ability to maintain the confidence and cooperation of faculty, staff and students.

5. General

- 5.1. All Senior Academic Administrator appointments will be made in accordance with this Policy and the appointment Procedures for the applicable position.
- 5.2. Appointments to Senior Academic Administrative Positions will be term appointments, subject to review, renewal and term limitations, as specified in the By-Laws, University Policies and the applicable appointment Procedures.
- 5.3. The processes by which Senior Academic Administrators are appointed will be publicized widely and include consultation with the relevant and appropriate constituent groups.

6. Approval of Appointments, Suspension and Removal

- 6.1. Unless authority is otherwise delegated by the Board, the appointment, renewal, suspension and removal of Senior Academic Administrators will be made upon the recommendation of the President to the Board of Governors, in accordance with the UOIT Act and By-Laws.

7. Senior Academic Administrator Position Requirements

- 7.1. A formal mandate and set of responsibilities will be established and maintained by the President, or other officer of the University to whom the Position reports, for each Senior Academic Administrative Position covered by this Policy.
- 7.2. A person appointed to a Senior Academic Administrative Position will normally hold a tenured appointment at the rank of Professor or must be qualified for an academic appointment commensurate with that rank.

8. Appointment Procedures

- 8.1. The University will establish detailed appointment Procedures for all Senior Academic Administrative Positions.

9. Appointment Committees

- 9.1. The University will appoint search or renewal advisory committees to participate in the appointment processes for all Senior Academic Administrative Positions.
- 9.2. Committees will be broad-based and representative of the constituencies and/or functional areas for which the applicable position has responsibility, authority and/or significant influence.
- 9.3. The Terms of Reference for committees will be specified as part of the applicable appointment Procedures and made publicly available.
- 9.4. Committees will have general responsibility for the following, the details of which may be further specified in the applicable appointment Procedures:
 - a) Search committees will be responsible for:
 - Establishing a position profile based on the education, knowledge, experience, and abilities required for the position;
 - Determining an appropriate consultation path and facilitating communication with the relevant constituent groups;

- Interviewing candidates;
 - Making recommendations to the President, or other delegated authority where applicable, regarding suitable candidates for the position.
- b)** Renewal advisory committees will be responsible for:
- Reviewing the position incumbent based on performance in the initial appointment and the ongoing requirements for the position;
 - Determining an appropriate consultation path and facilitating communication with the relevant constituent groups regarding the renewal;
 - Making recommendations to the President, or other delegated authority where applicable, regarding the renewal of an incumbent.
 - Transitioning to a search committee in the event an incumbent Senior Academic Administrator is not recommended for a renewed appointment.
- 9.5.** Committee members will maintain the confidentiality of internal committee communications, proceedings and deliberations, as well as all personal information to which the committee members are given access, in accordance with University Policies and applicable provincial legislation. The requirement to keep these matters confidential will continue indefinitely.

MONITORING AND REVIEW

- 10.** This Policy will be reviewed as necessary and at least every three years. The Vice-President, Academic and Provost is responsible to monitor and review this Policy.

RELEVANT LEGISLATION

- 11.** University of Ontario Institute of Technology Act, 2002, S.O. 2002, c. 8, Sch. O
By-Law Number 1 of the University of Ontario Institute of Technology, as amended

RELATED POLICIES, PROCEDURES & DOCUMENTS

- 12.** Graduate Faculty Appointments, Graduate Academic Calendar and Course Catalogue
Associate Provost Appointment Procedures
Dean of Graduate Studies Appointment Procedures
Faculty Dean Appointment Procedures
Faculty Association Tenure and Tenure Track Faculty Collective Agreement



Item	X.XX
Parent Policy	Policy on Senior Academic Administrative Appointments
Framework Category	Administrative
Approving Authority	Vice-President, Academic and Provost
Policy Owner	Vice-President, Academic and Provost
Approval Date	DRAFT
Review Date	
Supersedes	Associate Provost Appointment Procedures (January, 2014)

ASSOCIATE PROVOST APPOINTMENT AND RENEWAL PROCEDURES

PURPOSE

1. The purpose of these Procedures is to set out the process by which the appointment and/or renewal of the Associate Provost will be conducted.

DEFINITIONS

2. This section intentionally left blank.

SCOPE AND AUTHORITY

3. These Procedures apply to the appointment, extension and renewal of the Associate Provost.
4. The Vice-President, Academic and Provost (VPA and Provost) is responsible for overseeing the implementation, administration and interpretation of these Procedures.

PROCEDURES

5. Term of Office

- 5.1. The term of office of the Associate Provost will normally be five years, with the possibility of a five-year renewal. All renewals of the term of office of the Associate Provost will be as outlined in these Procedures.
 - a) No further renewal will be considered beyond two terms, except where the VPA and Provost, in consultation with the President, determines that unusual circumstances exist that would make such a renewal desirable.
 - b) Where such circumstances exist (e.g. a failed search for a new Associate Provost), the term of the incumbent Associate Provost may be extended in accordance with section 8 of these Procedures.

- 5.2.** In the case of absence of the Associate Provost the following Procedures will apply:
- a)** During the temporary absence of the Associate Provost for a period of up to two months, the Associate Provost will recommend to the VPA and Provost the appointment of a Dean to serve as Acting Associate Provost.
 - b)** In the event of the Associate Provost's absence for a period of more than two months or if the office of the Associate Provost becomes unexpectedly vacant, the VPA and Provost will recommend the appointment of an Interim Associate Provost for a period of normally no more than one year and forward the recommendation to the President who will thereafter transmit his/her own recommendation to the appropriate body of the Board of Governors.
 - c)** The term of an Interim Associate Provost may be considered for extension beyond one year, upon the recommendation of the Provost, and with the approval of the President, where unusual circumstances exist that make such an extension desirable.
- 6. Initial Appointment**
- 6.1.** Initial appointments will be made following a search conducted by a Search Committee that is advisory to the President.
 - 6.2.** At least 12 months prior to the final year of outgoing Associate Provost's term, the VPA and Provost will notify the President of the need to appoint a Search Committee and initiate the appointment process in accordance with these Procedures.
 - 6.3.** The President will call for nominations and, after consulting with the VPA and Provost, will appoint a Search Committee that, at a minimum, will consist of:
 - a)** Seven faculty members, at least one from each of the Faculties, including one Dean, one Research Chair and one faculty member at the level of Senior Lecturer or higher;
 - b)** One graduate student;
 - c)** One administrative staff member from the Office of the Associate Provost;
 - d)** One representative from HR; and
 - e)** VPA and Provost (as Chair).
 - 6.4.** The Assistant to the VPA and Provost will serve as Secretary to the Search Committee.
 - 6.5.** Membership on the Search Committee will be conditional upon agreement to the confidentiality requirements as established in the Policy on Senior Academic Administrative Appointments.
 - 6.6.** The membership of the Search Committee will be public and communicated to the Provost's Advisory Committee on Integrated Planning (PACIP), the Senior Academic Team, Academic Council and any successor bodies.

- 6.7. All members of the University community will be informed of the steps being taken to appoint the Associate Provost and of the membership of the Search Committee.
 - a) All members of the University community will be invited to communicate opinions concerning candidates and to submit nominations.
 - b) The Search Committee will consider the names suggested and also any additional names arising from any other source.
- 6.8. Where a member of the Search Committee ceases to be a member for any reason, a successor will be chosen from the same subgroup as outlined above, unless the Search Committee has reached a stage in its deliberations where it deems such a replacement is inadvisable.
- 6.9. The recommendation of the Search Committee, and the recommendation of the VPA and Provost will be provided in writing to the President. The President will transmit his/her own recommendation to the appropriate body of the Board of Governors.
- 6.10. When the Search Committee's mandate has been discharged, members of the Search Committee will deliver to the Office of the Provost all documents and notes associated with the Search Committee's work. The Provost's Office will ensure that all confidential records are managed in accordance with applicable University policies.

7. Renewal

- 7.1. An incumbent Associate Provost must provide notice to the VPA and Provost in writing at least 12 months prior to the final year of his/her initial term of appointment as to whether or not he/she intends to seek renewal.
- 7.2. Renewal is not automatic. The term of the incumbent Associate Provost may be renewed for a period not to exceed five years following review.
- 7.3. Upon receiving notification of the request to seek renewal, the VPA and Provost, in consultation with the President, will consider the request.
- 7.4. If the VPA and Provost and the President decide to pursue the renewal process, the President will appoint a Renewal Advisory Committee and initiate the renewal process in accordance with these Procedures.
- 7.5. The President will call for nominations and, after consulting with the VPA and Provost, will appoint a Renewal Advisory Committee that, at a minimum, will consist of:
 - a) Seven faculty members, at least one from each of the Faculties, including one Dean, one Research Chair and one faculty member at the level of Senior Lecturer or higher;
 - b) One graduate student;
 - c) One administrative staff member from the Office of the Associate Provost;
 - d) One representative from HR; and
 - e) VPA and Provost (as Chair)

- 7.6. The Assistant to the VPA and Provost will serve as Secretary to the Renewal Advisory Committee.
 - 7.7. The mandate of the Renewal Advisory Committee will be to recommend to the President whether the incumbent Associate Provost should be renewed. In the event that the recommendation is not to renew the Associate Provost's appointment, the members of the Renewal Advisory Committee will serve as a Search Committee for a new Associate Provost.
 - 7.8. Membership on the Renewal Advisory Committee will be conditional upon agreement to the confidentiality requirements as established in the Policy on Senior Academic Administrative Appointments.
 - 7.9. The membership of the Renewal Advisory Committee will be public and communicated to PACIP, Senior Academic Team, Academic Council and any successor bodies.
 - 7.10. All members of the University community will be informed of the steps being taken to renew the Associate Provost and of the membership of the Renewal Advisory Committee.
 - a) All members of the University community will be invited to communicate opinions concerning the incumbent Associate Provost.
 - b) If desirable, external stakeholder groups may be asked to communicate opinions concerning the incumbent Associate Provost.
 - 7.11. Where a member of the Renewal Advisory Committee ceases to be a member for any reason, a successor will be chosen from the same subgroup as outlined above, unless the Renewal Advisory Committee has reached a stage in its deliberations where it deems such a replacement is inadvisable.
 - 7.12. The recommendation of the Renewal Advisory Committee, and the recommendation of the VPA and Provost will be provided in writing to the President. The President will transmit his/her own recommendation to the appropriate body of the Board of Governors.
 - 7.13. When the Renewal Advisory Committee's mandate has been discharged, members of the Advisory Committee will deliver to the Office of the Provost all documents and notes associated with the Advisory Committee's work. The Provost's Office will ensure that all confidential records are managed in accordance with applicable University policies.
- 8. Extension of Term**
- 8.1. The term of office of the Associate Provost may be extended for one year periods up to a maximum of five years, provided that, prior to making a recommendation to the President, the VPA and Provost has:
 - a) Considered the recommendation of the Search or Renewal Advisory Committee (as applicable);
 - b) Consulted with the Senior Leadership Team; and

- c) Advised PACIP, the Senior Academic Team, Academic Council, and any successor bodies, of the pending extension.

9. Removal of the Associate Provost

- 9.1. The Associate Provost may be removed from administrative office only for significant failure to exercise the duties and responsibilities of the position. Such failure may include, but is not limited to, misconduct, incompetence and/or neglect of duty.
- 9.2. In the event that significant complaints concerning the performance of the Associate Provost are made, an investigation will be undertaken by the VPA and Provost, who will then provide an opportunity for the Associate Provost to discuss the complaints.
- 9.3. If, in judgment of the VPA and Provost, the Associate Provost should be removed, the VPA and Provost will provide the recommendation and reasons for removal to the President in writing.
- 9.4. The President will transmit his/her own recommendation to the appropriate body of the Board of Governors. If the President recommends termination of the appointment:
 - a) An Interim Associate Provost will be appointed in accordance with section 5 of these Procedures; and
 - b) The President will convene a search committee as outlined in section 6 of these Procedures.

MONITORING AND REVIEW

- 10. These Procedures will be reviewed as necessary and at least every three years. The VPA and Provost is responsible to monitor and review these Procedures.

RELEVANT LEGISLATION

- 11. University of Ontario Institute of Technology Act, 2002, S.O. 2002, c. 8, Sch. O
By-Law Number 1 of the University of Ontario Institute of Technology, as amended.

RELATED POLICIES, PROCEDURES & DOCUMENTS

- 12. Policy on Senior Academic Administrative Appointments

Approving Authority	Vice-President, Academic and Provost
Approval Date	DRAFT

ASSOCIATE PROVOST POSITION MANDATE

1. Reporting

- 1.1.** The Associate Provost reports directly to the Vice-President, Academic and Provost (VPA and Provost).

2. Responsibilities

- 2.1.** The VPA and Provost charges the Associate Provost with responsibility for Quality Assurance, Information Technology, Academic Affairs, and the Teaching and Learning Center. In addition, the Associate Provost is charged with responsibility for the management of the Office of the Associate Provost including responsibility for the overall direction of the Office and in particular for authority for the budget of the Office.
- 2.2.** The Associate Provost has responsibility to:
- a)** Lead strategic initiatives and engage in strategic planning related to the University, with particular responsibility for planning related to Academic Programs and for ensuring the quality of academic programs and units, engaging in academic planning and new program development, cross faculty initiatives, and University-wide academic policies.
 - b)** Oversee Academic Affairs, which includes responsibility for all aspects of Faculty and academic life, including faculty matters such as appointment, tenure, promotion, grievances, policy development, and liaising with bargaining agents for academic staff including, but not limited to, tenured and tenure-track faculty, teaching faculty, sessional lecturers and teaching assistants.
 - c)** Implement University policy in all aspects of its operation. The Associate Provost will consult on matters of policy and practice, but is ultimately responsible for all administrative decisions that are within his/her jurisdiction and authority.
 - d)** Administer all regulations relating to Quality Assurance, Information Technology and Academic Affairs.
 - e)** Ensure that all faculty, staff and students have access to the information, resources and training required for them to be effective in their roles
 - f)** Ensure that:
 - All students experience the highest possible quality of education and that all students have a forum for advocacy and appeal.

- All faculty and staff experience the highest possible quality working environment and that all have a forum for advocacy and appeal.
- g)** Act as the primary contact for all quasi-judicial matters involving students such as academic and non-academic misconduct.
- 2.3.** In order to conduct the business of the Office of the Associate Provost and to maintain reasonable contact with his/her area of research or scholarly interest, the Associate Provost may recommend to the VPA and Provost the appointment of Academic Administrative Positions¹ with specific responsibilities to the Associate Provost.

MONITORING AND REVIEW

- 3.** This position description will be reviewed as necessary and at least every three years. The VPA and Provost is responsible to monitor and review this document.

RELEVANT LEGISLATION

- 4.** University of Ontario Institute of Technology Act, 2002, S.O. 2002, c. 8, Sch. O
By-Law Number 1 of the University of Ontario Institute of Technology

RELATED POLICIES, PROCEDURES & DOCUMENTS

- 5.** Policy on Senior Academic Administrative Appointment
Appointment of Associate Deans, Assistant Deans, Program Directors, Program Coordinators and Department Chairs

¹ For the purposes of this document “Academic Administrative Position” means an academic administrative appointment made below the level of the Dean within a Faculty or School, including, but not limited to, Associate Dean, Assistant Dean, Directors, Coordinators, and Chairs.



Item	X.XX
Parent Policy	Senior Appointments Policy
Framework Category	Administrative
Approving Authority	Vice-President, Academic and Provost
Policy Owner	Vice-President, Academic and Provost
Approval Date	DRAFT
Review Date	
Supersedes	

DEAN OF GRADUATE STUDIES APPOINTMENT AND RENEWAL PROCEDURES

PURPOSE

1. The purpose of these Procedures is to set out the process by which the appointment and/or renewal of the Dean of Graduate Studies will be conducted.

DEFINITIONS

2. This section intentionally left blank.

SCOPE AND AUTHORITY

3. These Procedures apply to the appointment, extension and renewal of the Dean of Graduate Studies.
4. The Vice-President, Academic and Provost (VPA and Provost) is responsible for overseeing the implementation, administration and interpretation of these Procedures.

PROCEDURES

5. **Term of Office**
 - 5.1. The term of office of the Dean of Graduate Studies will normally be five years, with the possibility of a five-year renewal. All renewals of the term of office of Dean of Graduate Studies will be as outlined in these Procedures.
 - a) No further renewal will be considered beyond two terms except where the VPA and Provost, in consultation with the President, determines that unusual circumstances exist that would make such renewal desirable.
 - b) Where such circumstances exist (e.g. failed search for a new Dean), the term of an incumbent Dean may be extended in accordance with section 8 of these Procedures.

- 5.2.** In the case of absence of the Dean of Graduate Studies the following Procedures will apply:
- a)** During the temporary absence of the Dean for a period of up to two months, the Dean will recommend to the VPA and Provost the appointment of a senior faculty member to serve as Acting Dean.
 - b)** In the event of the Dean's absence for a period of more than two months or if the office of the Dean of Graduate Studies becomes unexpectedly vacant, the VPA and Provost will recommend the appointment of an Interim Dean for a period of no more than one year and forward the recommendation to the President who will thereafter transmit his/her own recommendation to the appropriate body of the Board of Governors.
 - c)** The term of an Interim Dean may be considered for extension beyond one year, upon the recommendation of the Provost and with the approval of the President, where unusual circumstances exist that make such an extension desirable.

6. Initial Appointment

- 6.1.** Initial appointments will be made following a search conducted by a Search Committee that is advisory to the President.
- 6.2.** At least 12 months prior to the final year of an outgoing Dean's term, the VPA and Provost will notify the President of the need to appoint a Search Committee and initiate the Appointment process in accordance with these Procedures.
- 6.3.** The President will call for nominations and, after consulting with the VPA and Provost and the Deans of the Faculties, will appoint a Search Committee that at a minimum will consist of:
 - a)** Seven faculty members, at least one from each of the Faculties, including one Dean and one Research Chair;
 - b)** One graduate student;
 - c)** One administrative staff member from the Office of Graduate Studies;
 - d)** One representative from HR; and
 - e)** VPA and Provost (as Chair).
- 6.4.** The Assistant to the VPA and Provost will serve as Secretary to the Search Committee.
- 6.5.** Membership on this Advisory Committee will be conditional upon agreement to the confidentiality requirements as established in the Policy on Senior Academic Administrative Appointments.
- 6.6.** The membership of the Search Committee will be public and communicated to the Provost's Advisory Committee on Integrated Planning (PACIP), the Senior Academic Team, Academic Council and any successor bodies.

- 6.7. All members of the University community will be informed of the steps being taken to appoint the Dean and of the membership of the Search Committee.
 - a) All members of the University community will be invited to communicate opinions concerning candidates and to submit nominations.
 - b) The Search Committee will consider the names suggested and also any additional names arising from any other source.
 - 6.8. Where a member of the Search Committee ceases to be a member for any reason, a successor will be chosen from the same subgroup as outlined above, unless the Search Committee has reached a stage in its deliberations where it deems such a replacement is inadvisable.
 - 6.9. The recommendation of the Search Committee, and the recommendation of the VPA and Provost will be provided in writing to the President. The President will transmit his/her own recommendation to the appropriate body of the Board of Governors.
 - 6.10. When the Search Committee's mandate has been discharged, members of the Search Committee will deliver to the Office of the Provost all documents and notes associated with the Search Committee's work. The Provost's Office will ensure that all confidential records are managed in accordance with applicable University policies.
- 7. Renewal**
- 7.1. An incumbent Dean must provide notice to the VPA and Provost in writing at least 12 months prior to the final year of his/her initial term of appointment as to whether or not he/she intends to seek renewal.
 - 7.2. Renewal is not automatic. The term of the incumbent Dean of Graduate Studies may be renewed for a period not to exceed five years following review.
 - 7.3. Upon receiving notification of the request to seek renewal, the VPA and Provost, in consultation with the President, will consider the request.
 - 7.4. If the VPA and Provost decide to pursue the renewal process, the President will appoint a Renewal Advisory Committee and initiate the renewal process in accordance with these Procedures.
 - 7.5. The President will call for nominations and, after consulting with the VPA and Provost and the Deans of the Faculties, will appoint a Renewal Advisory Committee that at a minimum will consist of:
 - a) Seven faculty members, at least one from each of the Faculties, including one Dean and one Research Chair;
 - b) One graduate student;
 - c) One administrative staff member from the Office of Graduate Studies;
 - d) One representative from HR; and

e) VPA and Provost (as Chair)

- 7.6.** The Assistant to the VPA and Provost will serve as Secretary to the Renewal Advisory Committee.
- 7.7.** The mandate of the Renewal Advisory Committee will be to recommend to the president whether the incumbent Dean will be renewed. In the event that the decision is not to renew the Dean's appointment, the members of the Renewal Advisory Committee will serve as a Search Committee for a new Dean of Graduate Studies.
- 7.8.** Membership on this Renewal Advisory Committee will be conditional upon agreement to the confidentiality requirements as established in the Policy on Senior Academic Administrative Appointments.
- 7.9.** The membership of the Renewal Advisory Committee will be public and communicated to PACIP, Senior Academic Team, Academic Council and any successor bodies.
- 7.10.** All members of the University community will be informed of the steps being taken to renew the Dean and of the membership of the Renewal Advisory Committee.
 - a)** All members of the University community will be invited to communicate opinions concerning the incumbent Dean.
 - b)** If desirable, external stakeholder groups may be asked to communicate opinions concerning the incumbent Dean.
- 7.11.** Where a member of the Renewal Advisory Committee ceases to be a member for any reason, a successor will be chosen from the same subgroup as outlined above, unless the Renewal Advisory Committee has reached a stage in its deliberations where it deems such a replacement is inadvisable.
- 7.12.** The recommendation of the Renewal Advisory Committee, and the recommendation of the VPA and Provost will be provided in writing to the President. The President will transmit his/her own recommendation to the appropriate body of the Board of Governors.
- 7.13.** When the Renewal Advisory Committee's mandate has been discharged, members of the Renewal Advisory Committee will deliver to the Office of the Provost all documents and notes associated with the Renewal Advisory Committee's work. The Provost's Office will ensure that all confidential records are managed in accordance with applicable University policies.

8. Extension of Term

- 8.1.** The term of office of the Dean of Graduate Studies may be extended for one year periods up to a maximum of five years, provided that, prior to making a recommendation to the President, the VPA and Provost has:
 - a)** Considered the recommendation of the Search or Renewal Advisory Committee (as applicable);

- b) Consulted with the Senior Leadership Team; and
- c) Advised PACIP, the Senior Academic Team, Academic Council, and any successor bodies, of the pending extension.

9. Removal of the Dean

- 9.1. The Dean may be removed from administrative office only for significant failure to exercise the duties and responsibilities of the position. Such failure may include, but is not limited to, misconduct, incompetence and/or neglect of duty.
- 9.2. In the event that significant complaints concerning the performance of the Dean are made, an investigation will be undertaken by the VPA and Provost, who will then provide an opportunity for the Dean to discuss the complaints.
- 9.3. If, in judgment of the VPA and Provost, the Dean should be removed the VPA and Provost will provide the recommendation and reasons for removal to the President in writing.
- 9.4. The President will transmit his/her own recommendation to the appropriate body of the Board of Governors. If the President recommends termination of the appointment:
 - a) An Interim Dean will be appointed in accordance with section 5 of these Procedures; and
 - b) The President will convene a search committee as outlined in section 6 of these Procedures.

MONITORING AND REVIEW

- 10. These Procedures will be reviewed as necessary and at least every three years. The VPA and Provost is responsible to monitor and review these Procedures.

RELEVANT LEGISLATION

- 11. University of Ontario Institute of Technology Act, 2002, S.O. 2002, c. 8, Sch. O
By-Law Number 1 of the University of Ontario Institute of Technology, as amended.

RELATED POLICIES, PROCEDURES & DOCUMENTS

- 12. Policy on Senior Academic Administrative Appointments

Approving Authority	Vice-President, Academic and Provost
Approval Date	DRAFT

DEAN (GRADUATE STUDIES) POSITION MANDATE

The Dean of Graduate Studies is the chief executive officer entrusted with Graduate Studies at the University.

1. Reporting

- 1.1.** The Dean of Graduate Studies reports directly to the Vice-President, Academic and Provost or his/her designate.

2. Responsibilities

- 2.1.** The Dean of Graduate Studies has responsibility for the management of the Office of Graduate Studies (OGS) and is responsible for the overall direction of graduate studies at the University. In particular the Dean has responsibility to:
 - a)** Oversee the budget of OGS, appointments to the Graduate Faculty, and the implementation of University policy in all aspects of its operation;
 - b)** Consult with the members of the division on matters of policy and practice, but is ultimately responsible for all administrative decisions that are within his/her jurisdiction and authority;
 - c)** Lead strategic initiatives and engage in strategic planning related to graduate programs, particularly related to the growth, development and maintenance of UOIT's graduate degree programs and activities;
 - d)** Represent the academic unit at Academic Council, and represent Graduate Studies to internal and external stakeholders;
 - e)** Administer, together with OGS, all regulations relating to graduate studies and ensure that Deans of Faculties participating in graduate studies, Graduate Program Directors, administrators within Faculties, and all faculty participating in graduate programs, have access to the information, resources and training required for them to be effective in their roles.
 - f)** Ensure that graduate students experience the highest possible quality of education and that graduate students have a forum for advocacy and appeal.
 - g)** All faculty and staff experience the highest possible quality working environment and that all have a forum for advocacy and appeal.

- 2.2. In order to conduct the business of OGS, and to maintain reasonable contact with his/her area of research or scholarly interest, the Dean of Graduate Studies may recommend to the VPA and Provost the appointment of an associate Dean and/or other Academic Administrative Position¹ with specific responsibilities to the Dean.

MONITORING AND REVIEW

3. This position description will be reviewed as necessary and at least every three years. The VPA and Provost is responsible to monitor and review this document.

RELEVANT LEGISLATION

4. University of Ontario Institute of Technology Act, 2002, S.O. 2002, c. 8, Sch. O
By-Law Number 1 of the University of Ontario Institute of Technology

RELATED POLICIES, PROCEDURES & DOCUMENTS

5. Policy on Senior Academic Administrative Appointment
Appointment of Associate Deans, Assistant Deans, Program Directors, Program Coordinators and Department Chairs

¹ For the purposes of this document “Academic Administrative Position” means an academic administrative appointment made below the level of the Dean within a Faculty or School, including, but not limited to, Associate Dean, Assistant Dean, Directors, Coordinators, Chairs and Heads.



Item	X.XX
Parent Policy	Policy on Senior Academic Administrative Appointments
Framework Category	Administrative
Approving Authority	Vice-President, Academic and Provost
Policy Owner	Vice-President, Academic and Provost
Approval Date	DRAFT
Review Date	
Supersedes	Procedures for the Appointment of Deans (June, 2014)

FACULTY DEAN APPOINTMENT AND RENEWAL PROCEDURES

PURPOSE

1. The purpose of these Procedures is to set out the process by which the appointment and/or renewal of the Faculty Deans will be conducted.

DEFINITIONS

2. This section intentionally left blank.

SCOPE AND AUTHORITY

3. These Procedures apply to the appointment, extension and renewal of Faculty Deans.
4. The Vice-President, Academic and Provost (VPA and Provost) is responsible for overseeing the implementation, administration and interpretation of these Procedures.

PROCEDURES

5. Term of Office

- 5.1. The term of office of a Faculty Dean will normally be five years, with the possibility of a five-year renewal. All renewals of the term of office of a Faculty Dean will be as outlined in these Procedures.
 - a) No further renewal will be considered beyond two terms except where the VPA and Provost, in consultation with the President, determines that unusual circumstances exist that would make such a renewal desirable.
 - b) Where such circumstances exist (e.g. failed search for a new Dean), the term of an incumbent Dean may be extended in accordance with section 8 of these Procedures.

- 5.2.** In the case of absence of a Faculty Dean the following Procedures will apply:
- a)** During the temporary absence of a Faculty Dean for a period of up to two months, the Dean will recommend to the VPA and Provost the appointment of a senior faculty member to serve as Acting Dean.
 - b)** In the event of a Dean's absence for a period of more than two months or if the office of a Dean becomes unexpectedly vacant, the VPA and Provost will recommend the appointment of an Interim Dean for a period of normally no more than one year and forward the recommendation to the President who will thereafter transmit his/her own recommendation to the appropriate body of the Board of Governors.
 - c)** The term of an Interim Dean may be considered for extension beyond one year, upon the recommendation of the VPA and Provost, and with the approval of the President, where unusual circumstances exist that make such an extension desirable.

6. Initial Appointment

- 6.1.** Initial appointments will be made following a search conducted by a Search Committee that is advisory to the President.
- 6.2.** At least 12 months prior to the final year of an outgoing Dean's term, the VPA and Provost will notify the President of the need to appoint a Search Committee and initiate the Appointment process in accordance with these Procedures.
- 6.3.** The President will call for nominations and, after consulting with VPA and Provost and the Faculty, will appoint an Advisory Committee that at a minimum will consist of:
 - a)** Five faculty members from the Faculty, with at least one from each Program from the Faculty. It is desirable that at least one member be a faculty member at the level of Senior Lecturer or higher;
 - b)** One cognate Dean;
 - c)** One tenured faculty member from a cognate discipline;
 - d)** One graduate student from the Faculty;
 - e)** One administrative staff member from the Faculty;
 - f)** One representative from HR; and
 - g)** VPA and Provost (as Chair)
- 6.4.** The Assistant to the VPA and Provost will serve as Secretary to the Search Committee.
- 6.5.** Membership on the Search Committee will be conditional upon agreement to the confidentiality requirements as established in the Policy on Senior Academic Administrative Appointments.
- 6.6.** The membership of the Search Committee will be public and communicated to the Provost's Advisory Committee on Integrated Planning (PACIP), the Senior Academic Team, Academic Council and any successor bodies.

- 6.7. All members of the University community will be informed of the steps being taken to appoint the Dean and of the membership of the Search Committee.
 - a) All members of the University community will be invited to communicate opinions concerning candidates and to submit nominations.
 - b) The Search Committee will consider the names suggested and also any additional names arising from any other source.
- 6.8. Where a member of the Search Committee ceases to be a member for any reason, a successor will be chosen from the same subgroup as outlined above, unless the Search Committee has reached a stage in its deliberations where it deems such a replacement is inadvisable.
- 6.9. The recommendation of the Search Committee, and the recommendation of the VPA and Provost will be provided in writing to the President. The President will transmit his/her own recommendation to the appropriate body of the Board of Governors.
- 6.10. When the Search Committee's mandate has been discharged, members of the Search Committee will deliver to the Office of the Provost all documents and notes associated with the Search Committee's work. The Provost's Office will ensure that all confidential records are managed in accordance with applicable University policies.

7. Renewal

- 7.1. An incumbent Dean must provide notice to the VPA and Provost in writing at least 12 months prior to the final year of his/her initial term of appointment as to whether or not he/she intends to seek renewal.
- 7.2. Renewal is not automatic. The term of the incumbent Faculty Dean may be renewed for a period not to exceed five years following review.
- 7.3. Upon receiving notification of the request to seek renewal, the VPA and Provost, in consultation with the President, will consider the request.
- 7.4. If the VPA and Provost decide to pursue the renewal process, the President will appoint a Renewal Advisory Committee and initiate the renewal process in accordance with these Procedures.
- 7.5. The President will call for nominations and, after consulting with the VPA and Provost and Faculty, will appoint a Renewal Advisory Committee that at a minimum will consist of:
 - a) Five faculty members from the Faculty, with at least one from each Program from the Faculty. It is desirable that at least one member be a faculty member at the level of Senior Lecturer or higher;
 - b) One cognate Dean;
 - c) One tenured faculty member from a cognate discipline;
 - d) One graduate student from the Faculty;
 - e) One administrative staff member from the Faculty;

- f) One representative from HR; and
- g) VPA and Provost (as Chair)

- 7.6. The Assistant to the VPA and Provost will serve as Secretary to the Renewal Advisory Committee.
- 7.7. The mandate of the Renewal Advisory Committee will be to recommend to the president whether the incumbent Dean will be renewed. In the event that the decision is not to renew the Dean's appointment, the members of the Renewal Advisory Committee will serve as a Search Committee for a new Faculty Dean.
- 7.8. Membership on the Renewal Advisory Committee will be conditional upon agreement to the confidentiality requirements as established in the Policy on Senior Academic Administrative Appointments.
- 7.9. The membership of the Renewal Advisory Committee will be public and communicated to PACIP, Senior Academic Team, Academic Council and any successor bodies.
- 7.10. All members of the University community will be informed of the steps being taken to renew the Dean and of the membership of the Renewal Advisory Committee.
 - a) All members of the University community will be invited to communicate opinions concerning the incumbent Dean.
 - b) If desirable, external stakeholder groups may be asked to communicate opinions concerning the incumbent Dean.
- 7.11. Where a member of the Renewal Advisory Committee ceases to be a member for any reason, a successor will be chosen from the same subgroup as outlined above, unless the Renewal Advisory Committee has reached a stage in its deliberations where it deems such a replacement is inadvisable.
- 7.12. The recommendation of the Renewal Advisory Committee, and the recommendation of the VPA and Provost will be provided in writing to the President. The President will transmit his/her own recommendation to the appropriate body of the Board of Governors.
- 7.13. When the Renewal Advisory Committee's mandate has been discharged, members of the Renewal Advisory Committee will deliver to the Office of the Provost all documents and notes associated with the Renewal Advisory Committee's work. The Provost's Office will ensure that all confidential records are managed in accordance with applicable University policies.

8. Extension of Term

- 8.1. The term of office of a Faculty Dean may be extended for one year periods up to a maximum of five years, provided that, prior to making a recommendation to the President, the VPA and Provost has:
 - a) Considered the recommendation of the Search or Renewal Advisory Committee (as applicable);
 - b) Consulted with the Senior Leadership Team; and

- c) Advised PACIP, the Senior Academic Team, Academic Council, and any successor bodies, of the pending extension.

9. Removal of the Dean

- 9.1. A Faculty Dean may be removed from administrative office only for significant failure to exercise the duties and responsibilities of the position. Such failure may include, but is not limited to, misconduct, incompetence and/or neglect of duty.
- 9.2. In the event that significant complaints concerning the performance of a Faculty Dean are made, an investigation will be undertaken by the VPA and Provost, who will then provide an opportunity for the Dean to discuss the complaints.
- 9.3. If, in judgment of the VPA and Provost, the Dean should be removed the VPA and Provost will provide the recommendation and reasons for removal to the President in writing.
- 9.4. The President will transmit his/her own recommendation to the appropriate body of the Board of Governors. If the President recommends termination of the appointment:
 - a) An Interim Dean will be appointed in accordance with section 5 of these Procedures; and
 - b) The President will convene a Search Committee as outlined in section 6 of these Procedures.

MONITORING AND REVIEW

- 10. These Procedures will be reviewed as necessary and at least every three years. The VPA and Provost is responsible to monitor and review these Procedures.

RELEVANT LEGISLATION

- 11. University of Ontario Institute of Technology Act, 2002, S.O. 2002, c. 8, Sch. O
By-Law Number 1 of the University of Ontario Institute of Technology, as amended

RELATED POLICIES, PROCEDURES & DOCUMENTS

- 12. Policy on Senior Academic Administrative Appointments

Approving Authority	Vice-President, Academic and Provost
Approval Date	DRAFT

DEAN (FACULTY) POSITION MANDATE

The Dean of a Faculty is the chief executive officer of the Faculty or School and is responsible for the overall direction of the Faculty and in particular for authority over budget, appointments and promotions.

1. Reporting

- 1.1. The Dean reports directly to the Vice-President, Academic and Provost or his/her designate.

2. Responsibilities

- 2.1. The Dean has responsibility for the management of the Faculty, and in particular to:

- a) Lead strategic initiatives and engage in strategic planning related to academic programs, particularly related to the growth, development and maintenance of UOIT's degree programs and activities.
- b) Implement University policy in all aspects of its operation.
- c) Consult with the members of the division on matters of policy and practice, but is ultimately responsible for all administrative decisions that are within his/her jurisdiction and authority.
- d) Represent the academic unit at Academic Council, and represents the Faculty to internal and external stakeholders.
- e) Administer, together with the Office of the Faculty, all regulations relating to the Faculty and University and will ensure that other Academic Administrative Positions¹, and all faculty and staff have access to the information, resources and training required for them to be effective in their roles.
- f) Ensure that all students in the Faculty experience the highest possible quality of education and that all students have a forum for advocacy and appeal.
- g) All faculty and staff experience the highest possible quality working environment and that all have a forum for advocacy and appeal.

¹ For the purposes of this document "Academic Administrative Position" means an academic administrative appointment made below the level of the Dean within a Faculty or School, including, but not limited to, Associate Dean, Assistant Dean, Directors, Coordinators, Chairs and Heads.

- 2.2. In order to conduct the business of the Office of the Faculty and to maintain reasonable contact with his/her area of research or scholarly interest, the Dean may recommend to the Vice-President, Academic and Provost the appointment of an associate Dean and/or other Academic Administrative Positions with specific responsibilities to the Dean.

MONITORING AND REVIEW

3. This position description will be reviewed as necessary and at least every three years. The VPA and Provost is responsible to monitor and review this document.

RELEVANT LEGISLATION

4. University of Ontario Institute of Technology Act, 2002, S.O. 2002, c. 8, Sch. O
By-Law Number 1 of the University of Ontario Institute of Technology, as amended

RELATED POLICIES, PROCEDURES & DOCUMENTS

5. Policy on Senior Academic Administrative Appointment
Appointment of Associate Deans, Assistant Deans, Program Directors, Program Coordinators and Department Chairs