PURPOSE

1.00 The purpose of these procedures is to provide direction on the processes for the appointment, or review and re-appointment of directors (or equivalent) of research centres at the University of Victoria.

PROCEDURES

2.00 The processes provided in these procedures are intended to be flexibly applied according to the principles of proportionality. The administrative requirements, approval and renewal processes, breadth of activities, and other aspects of research centres occur along a continuum that is proportionate to the breadth of their academic constituencies. This proportionality is primarily based on the location of the majority of the membership and activities of the centre and approximately parallels a department-faculty-university structure. In brief, proportionality refers to the use of an appointment or review and re-appointment process that corresponds with the relative complexity and resources of the research centre.

3.00 For the purposes of these procedures, the academic administrator for an intra-faculty and inter-faculty research centre (as defined in the university Procedures for the Establishment and Review of Research Centres) is the Dean of the home faculty of the research centre director. The academic administrator for multi-faculty and inter-institutional research centres is the Vice-President Research.

COMPOSITION OF THE APPOINTMENT COMMITTEE

4.00 Upon establishment of a new research centre or at a reasonable time prior to the end of the incumbent’s term as director of an existing research centre, the academic administrator with responsibility for the centre (Dean or Vice-President Research) will strike an Appointment Committee (hereinafter referred to as “the Committee”) made up of the representatives from the research centre’s academic constituencies and other stakeholders as appropriate. The Committee will normally be chaired by the appropriate academic administrator (or designate).

5.00 The University of Victoria is committed to employment equity. Where possible, selection committees should include diverse representation from women, Indigenous peoples, persons with disabilities, visible minorities, people of all sexual orientations and genders and others who may contribute to the diversification of the Committee. Similarly, candidates from the
designated groups should be encouraged for the Director position. During the selection process, the Committee should:

a. acquaint itself with human rights requirements, and university equity and diversity policies;
b. familiarize itself with best practices for conducting fair and equitable search and selection processes;
c. include equity issues in its consideration of criteria for the position; and
d. take steps to widen the pool of qualified applicants to include equity group members listed above.

5.01 Position advertisements shall include the university’s current employment equity statement.

5.02 The chair of the Committee is encouraged to consult the Equity and Human Rights Office or the Office of the Vice-President Academic for advice and support in running a fair and equitable search process.

RESPONSIBILITIES AND PROCEDURES OF THE COMMITTEE

6.00 An open search will normally be instituted by the Committee in the following circumstances:

a. In order to appoint the inaugural director of a newly established research centre
b. If the incumbent of an existing research centre does not wish to be re-appointed
c. If the incumbent of an existing research centre has served two consecutive terms

7.00 The Committee Chair, (the pertinent Dean or Vice-President Research or designate), in consultation with the Committee, will develop an appropriate appointment process in accordance with the principles of proportionality related to the size, complexity and constituencies of the research centre. The process normally will include:

a. Establishing a Committee representative of the main constituencies;
b. Preparation of search documents including a position posting, selection criteria and position description, in accordance with the duties and responsibilities set out in the Duties and Responsibilities of Research Centre Directors Policy (GV0715);
c. Development of interview questions;
d. Review of curriculum vitae;
e. Consultation with research centre members, staff, associated faculty, external associates and any other relevant constituents; and
f. Determination of how the Committee will make its decision on recommendation of a candidate (e.g., by simple majority vote, ratification, etc).

7.01 The process may also include:

- Short-listing of candidates if required;
- A presentation by short-listed candidates on their vision for the research centre;
- Meetings with research centre members, governance/advisory committees, students, faculty and other stakeholders;
- Reference checking; and
- Formal ratification by the faculty members of the research centre.
Deliberations of the Committee shall be confidential. A person who has breached confidentiality shall be subject to sanction by the chair up to and including dismissal from the Committee and forfeiture of constituency representation. Committee members should respond to general questions on the Committee’s progress by referencing procedural decisions of the Committee as recorded in the minutes. At no point is it appropriate to refer to opinions or comments expressed at meetings of the Committee.

The personal information of the incumbent and director candidates shall be managed and protected in accordance with the Freedom of Information and Protection of Privacy Act, and the university’s Protection of Privacy (GV0235) and Records Management (IM7700) policies and associated procedures.

Documentation containing personal information received by the Committee during its deliberations is confidential and shall be used or disclosed only for the purpose for which the information was collected or a purpose consistent with the original collection purpose. All other uses or disclosures of such information require the consent of the incumbent or candidate.

Members of the Committee shall be responsible for seeking information from their constituencies and keeping constituencies apprised of the non-confidential aspects of the appointment process.

The Committee Chair will guide Committee members with respect to consultations with their constituencies.

The Committee shall keep a summary record of its decisions and action. Deliberations of the Committee concerning candidates, including the incumbent, shall not be recorded in the summary record.

The process of ratifying the Committee’s recommendation, as detailed in sections 31.00 and 32.00 of these procedures, may not be required if at least 60% of the faculty members of the research centre serve on the Committee and the Committee members were unanimous in recommending the appointment. The Committee is responsible for determining whether ratification should occur.

The recommendation for the candidate put forward by the Committee shall be in the form of a report to the Vice-President Research (for intra-faculty and inter-faculty research centres) or to the President (for multi-faculty and inter-institutional research centres) and shall include recommendations for action and a rationale for the Committee’s recommendation.

If the Vice-President or President decides to offer the appointment to a candidate for whom ratification was conducted, the results of the ballot shall be published.

RESPONSIBILITIES AND PROCEDURES OF THE VICE-PRESIDENT RESEARCH AND DEAN

When the Vice-President Research or President has approved the appointment, and the successful candidate has accepted, there shall be a meeting between the relevant academic
administrator (Dean or Vice-President Research) and the new research centre director to discuss any issues arising from the appointment process as they relate to the mandate for the next term. A letter of appointment should be prepared by the relevant academic administrator, stating the term and any remuneration arrangements agreed to by both parties.

16.00 Signing authority for research centre accounts needs to be established by the relevant academic administrator of the centre (Dean or Vice-President Research) for the director, using the Delegation of Signing Authority form. Refer to the Signing Authority policy FM5100 for more information. The “one-over-one” for directors of intra-faculty and inter-faculty research centres is the Dean of the director’s home faculty. The “one-over-one” for directors of multi-faculty and inter-institutional research centres is the Vice-President Research.

17.00 Once approved, the appointment should be communicated to constituents of the research centre and the broader university community and external institutions as appropriate.

18.00 Arrangements for finalizing the appointment of the successful candidate will be dealt with through the office of the relevant academic administrator responsible for the research centre (Dean or Vice-President Research). See the Guidelines for the appointment and re-appointment of research centre directors for more detailed instructions.

RE-APPOIINTMENT PROCEDURES OF THE COMMITTEE

19.00 If there is an incumbent who has only served a single term, the Committee shall decide whether to invoke re-appointment procedures or proceed directly to an open search. Normally, a research centre Director shall not serve more than two five-year terms.

20.00 If, after reviewing the criteria established for the position, the incumbent elects to stand for a consecutive term, the Committee shall determine whether or not to recommend the re-appointment by using the process set out in section 21.00.

21.00 The Committee will develop an appropriate re-appointment process in accordance with the principles of proportionality. The process may include:

   a. consultation with research centre members, staff, associated faculty, external associates and any other relevant constituents;
   b. a presentation by the incumbent on his or her vision for the research centre;
   c. meetings between the incumbent, research centre members, governance/advisory committees, students, faculty and others as required;
   d. reference checking;
   e. an interview; and
   f. determination of how the Committee will make its recommendation decision to re-appoint the incumbent (e.g., by simple majority vote, ratification, etc.).

22.00 The past performance of the incumbent shall be assessed in the context of the University of Victoria’s future research directions. Material to be examined by the Committee would normally include:
a. a self-assessment completed by the incumbent including a statement of past performance against the purposes, objectives and goals of the research centre and planned future goals and activities;

b. the incumbent's updated curriculum vitae;

c. the criteria established as part of the search process;

d. the criteria and objectives established for the research centre director at the time of first appointment;

e. the internal and external evaluations of the research centre; and

f. the results of consultation with constituency groups and referees.

23.00 Normally a review should take no longer than six weeks. During the period of assessment, the Committee must ensure that the ability of the incumbent to discharge the duties and responsibilities of the position is not undermined by the process.

24.00 The incumbent must be advised of the measures to be used for assessment, the individuals and constituency groups the Committee plans to consult, and the schedule for each stage of the process.

25.00 If the Committee's decision is to not recommend the re-appointment of the incumbent, the incumbent shall be advised as soon as possible by the Chair.

26.00 The process of ratifying the Committee's recommendation, as detailed in sections 31.00 and 32.00, may not be required if at least 60% of the faculty members of the research centre serve on the selection committee and they were unanimous in recommending the appointment. The Committee is responsible for determining whether ratification should occur.

27.00 The recommendation for re-appointment shall be in the form of a report to the Vice-President Research (for intra-faculty and inter-faculty research centres) or to the President (for multi-faculty and inter-institutional research centres) including recommendations for action and a rationale for the Committee's choice.

27.01 If the Vice-President Research or President decides to offer the re-appointment to a candidate for whom ratification was conducted, the results of the ballot shall be published.

28.00 When the Vice-President Research or President has approved the re-appointment, and the incumbent has accepted, there shall be a meeting between the relevant academic administrator (Dean or Vice-President Research) and the re-appointed research centre director to discuss any issues arising from the re-appointment process as they relate to the mandate for the next term. A letter of re-appointment should be prepared by the academic administrator, stating the term and any remuneration arrangements agreed to by both parties.

29.00 Once approved, the re-appointment should be communicated to constituents of the research centre, the broader university community, and external institutions as appropriate.

30.00 Arrangements for finalizing the re-appointment of the incumbent will be dealt with through the office of the appropriate academic administrator responsible for the research centre. See the
Guidelines for the appointment and re-appointment of research centre directors for more detailed instructions.

RATIFICATION

31.00 A ratification process is normally used for appointments of new research centre directors and re-appointments of an incumbent director. However, ratification may be waived if at least 60% of the faculty members of the research centre served on the selection committee and they were unanimous in recommending the appointment or re-appointment.

31.01 If ratification is required, the Committee shall determine, by secret ballot, the acceptability of its recommendation. Ballots and a copy of the candidate’s curriculum vitae shall be distributed to the regular faculty members of the research centre by the relevant Dean’s office. Normally, ratification shall be 60% of votes cast; however, in the case of smaller research centres, the Committee may rule, prior to consideration of the incumbent or any call for nominations, that ratification shall be a majority vote.

32.00 If the Committee’s recommended candidate is ratified, the Committee chair shall present the Committee’s recommendation and the ratification results to the Vice-President Research or the President, as an attachment to the recommendation mentioned in sections 14.00 and 27.00. If the Vice-President Research or President decides to offer the reappointment to the incumbent and the incumbent accepts, the ratification ballot results shall be published.

APPOINTMENT OF AN ACTING DIRECTOR

33.00 If necessary, the academic administrator may request that the President appoints an Acting Director to serve normally for no longer than twelve months, until a new director can be appointed. To appoint an acting director follow the processes in sections 14.00-18.00 of these procedures.

AUTHORITIES AND OFFICERS

i) Approving Authority: Board of Governors (on the recommendation of Senate)
ii) Designated Executive Officer: Vice-President Research
iii) Procedural Authority: Board of Governors
iv) Procedural Officer: Vice-President Research

RELATED POLICIES AND DOCUMENTS

Establishment and Review of Research Centres Policy (RH8300)
Procedures for the Establishment and Review of Research Centres (RH8300)
Duties and Responsibilities of Directors of Research Centres Policy (GV0715)
Guidelines for the appointment and re-appointment of research centre directors
Signing Authority Policy (FM5100)