Procedures for the Appointment and Re-appointment of Research Centre Directors

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.

Preliminaries
2.00 The processes in these procedures provide for flexibility in their application commensurate with the type, breadth of activity, and composition of the research centre.

3.00 For the purposes of these procedures, the Administrative Authority and Approval Authority for research centres are as shown in the following table where the types of research centres are as defined in the Establishment, Review, and Closure of Research Centres Policy (and Associated Procedures):

<table>
<thead>
<tr>
<th>Type of Research Centre</th>
<th>Administrative Authority</th>
<th>Approving Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intra or inter-faculty</td>
<td>Dean of centre director’s home faculty</td>
<td>Vice-President Research</td>
</tr>
<tr>
<td>Multi-faculty or multi-institutional</td>
<td>Vice-President Research</td>
<td>President</td>
</tr>
</tbody>
</table>

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 Administrative Authority will strike an Appointment Committee (“the Committee”) made up of the representatives from the research centre’s academic constituencies and other stakeholders, including external representatives, as appropriate. The Committee will be chaired by the appropriate Administrative Authority (or designate). Normally, the Committee will have 6 to 10 members.

4.01 Where possible, alternates will be identified who may be asked to serve when a member needs to resign from the Committee before it begins to formally interview candidates. Alternates cannot be added after this point as each Committee member must be in a position to weigh the merits of each candidate prior to making a recommendation.

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.

**General Committee Responsibilities**

6.00 Committee members are expected to attend the Committee’s meetings and must participate in interviews. A Committee member who is not able to meet these expectations shall resign from the Committee and an alternate may be appointed in accordance with section 4.01.

7.00 Before the selection process begins, the Committee shall:

   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.

7.01 The Chair of the Committee is encouraged to consult Equity and Human Rights for advice and support in running a fair and equitable search process.

7.02 Position advertisements shall include the university’s current employment equity statement. Candidates from the designated groups should be encouraged for the director position.

8.00 Before considering the incumbent for reappointment or beginning a search, the Committee shall review the [Duties and Responsibilities of Directors of Research Centres Policy (GV0715)](GV0715) and establish the requirements for the position as well as the criteria by which candidates for the position will be assessed. Research centre members, staff, associated faculty, external associates, and any other relevant constituents may be consulted in establishing the requirements and criteria. The requirements and criteria shall be made available to anyone interested in the position including the incumbent.

9.00 Normally, a research centre Director shall not serve more than two consecutive five-year terms. If the incumbent indicates that they wish to be considered for re-appointment, the Committee shall decide whether to invoke re-appointment procedures or proceed directly to a search.

**Search Procedures**

10.00 A 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; or
   c. if the incumbent of an existing research centre has served two consecutive terms.

11.00 An open search shall be restricted to tenured faculty members at the University of Victoria unless otherwise authorized by the Approval Authority.
12.00 The Committee Chair, in consultation with the Committee, will develop an appropriate search process, which will include:

a. preparing a position posting highlighting the requirements for the position as established in section 7.00;
b. developing interview questions;
c. determining how the Committee will make its decision on recommending a candidate (e.g., by simple majority vote, etc.);
d. developing an appropriate selection and interview process that will include at least:
   • reviewing curriculum vitae and other relevant documentation;
   • short-listing candidates if required;
   • reference checking if deemed necessary by the Committee;
   • a public 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; and
   • a Committee interview with each of the short-listed candidates.

13.00 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.

14.00 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.

15.00 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.

16.00 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.

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

17.00 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.
Re-appointment Procedures

18.00 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 19.00.

19.00 The Committee will develop an appropriate re-appointment process in accordance with the principles of proportionality. The process shall 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 with the incumbent, research centre members, governance/advisory committees, students, faculty, and others as required;
d. reference checking if deemed necessary by the Committee;
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.).

20.00 The past performance of the incumbent shall be assessed in the context of the University of Victoria’s Strategic Research Plan. 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.

21.00 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.

22.00 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.

23.00 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 Committee Chair.

Ratification

24.00 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.
25.00 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 made available to the faculty members of the research centre by the office of the Administrative Authority. 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.

Approval

26.00 If the Committee’s recommended candidate is ratified, the Committee will provide a written recommendation with a detailed rationale for the recommendation and the ratification results to the Administrative Authority.

27.00 If the Administrative Authority accepts the Committee’s recommendation, the Administrative Authority shall present their recommendation together with the Committee’s recommendation and the ratification results to the Approving Authority.

28.00 When the Approving Authority has approved the appointment / re-appointment:

a. If a ratification was conducted, the results shall be published.

b. There shall be a meeting between the Administrative Authority and the proposed research centre director to discuss any issues arising from the selection process as they relate to the mandate for the Centre.

c. A letter of appointment / re-appointment shall be prepared by the Administrative Authority, stating the term and any arrangements, including financial commitments, agreed to by the parties.

d. The appointment / re-appointment shall be communicated by the Administrative Authority to constituents of the research centre, the broader university community, and external entities and institutions as appropriate.

e. Arrangements for finalizing the appointment / re-appointment will be dealt with through the office of the Administrative Authority responsible for the research centre. See the Guidelines for the Appointment and Re-appointment of Research Centre Directors for more detailed instructions.

29.00 If the Approving Authority does not approve the appointment / re-appointment, the Approving Authority and Administrative Authority shall discuss what measures to take which may include reopening a search or initiating a new search with a new Committee.

Appointment of an Interim Director

30.00 If necessary, including in the situation where the Centre Director goes on leave, the Administrative Authority may request that the Approving Authority appoints an Interim Director to serve normally for no longer than twelve months. A ratification will not normally be conducted for the appointment of an Interim Director.

Authorities and Officers

31.00 The authorities and officers for this policy are:

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