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Parent Policy: [Recruitment Policy](#)

Faculty Deans Review Procedure

Office of Administrative Responsibility:	Office of the Provost and Vice-President (Academic)
Approver:	General Faculties Council Executive Committee
Scope:	Compliance with this University policy extends to all academic, support and excluded staff, postdoctoral fellows, and academic colleagues as outlined and defined in the Recruitment Policy (Appendix A and Appendix B: Definitions and Categories) and to the members of the Board of Governors.

Overview

The University of Alberta ("University") is committed to appointing the best-qualified deans and aspires to achieve an **equitable, diverse** and **inclusive** community of **senior administrators** and **employees** consistent with the mission set out in its *Strategic Plan for Equity, Diversity and Inclusivity* ("EDI Strategic Plan"). By adopting EDI principles and practices into its Faculty Dean review process, the University hopes to achieve diversity in the workplace and correct employment disadvantages experienced by **persons historically under-represented at the University**. These principles and practices are designed to ensure that access to the University's employment opportunities is equitable and inclusive by removing employment-related barriers - particularly those based on **protected grounds**. This will require periodic assessment of demographic, intellectual, and other aspects of diversity when contemplating a search. Committees must consider any diversity-related issues that exist with respect to the relevant employee group and must consider what steps it may reasonably take to address those issues.

By virtue of the *Post-Secondary Learning Act* (section 21(1), 83 and 84(1)), the appointment of a Dean is made by the Board of Governors who has delegated their authority to the Board Human Resources Compensation Committee (BHRCC) in accordance with procedures approved by General Faculties Council.

With respect to the procedures for the review and reappointment of a Faculty Dean ("Dean"), the Board and GFC delegate their approval authority to the GFC Executive Committee for all matters of a routine or editorial nature. For matters of a substantive nature, the GFC Executive Committee will recommend to the BHRCC. The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.

Purpose

A new Dean will be appointed for an initial term through the Faculty Deans Selection Procedure. Should the incumbent Dean be considered for reappointment for a subsequent term, this Faculty Deans Review Procedure will be employed.

The purpose of this procedure is to set out:

- the principles and practices that apply to review of incumbent Deans in order to ensure a fair and equitable process.
- how the Dean review and reappointment is initiated
- matters pertaining to the Dean Review Committee (the "Committee") including its mandate, composition, and how potential **conflicts** of interest, quorum and privacy and confidentiality are managed
- the Dean review process including the review criteria, consultations, the provision of feedback to the Dean, the Faculty forum and the committee's recommendation on reappointment
- the exceptions to this procedure
- the delegated authority for Dean appointments and with respect to the Dean review and reappointment procedures

PROCEDURE

1. INITIATION OF THE DEAN REVIEW AND REAPPOINTMENT PROCESS

A. Standard Review and Reappointment Process

The review and reappointment process is initiated by the Provost at least sixteen (16) months prior to the end of the incumbent's term or as otherwise set out in the relevant employment agreement.

B. Review by petition process

During the incumbent Dean's term, petitions for an out-of-cycle review can be submitted to the Provost, by petition.

- Where the petition is signed by a majority of **faculty members** in the Faculty, the Provost will initiate this review procedure. Signatories for such petitions may not include faculty members on leave.
- Where the petition is not signed by a majority of faculty members in the Faculty, the Provost, in consultation with the President, will decide whether to initiate the review and reappointment process or an alternative process, to be determined by the Provost and President.
- Where a review by petition is undertaken, the President, after considering the recommendation of the review committee or the results of the alternative process, will either decide that
 - a) the Dean will complete the term of appointment, in which case the decision is final and binding, and inform the BHRCC.
 - b) recommend to the BHRCC that the Dean's appointment be terminated, following which the BHRCC will decide whether to terminate the appointment of the Dean before the end of their term.

Where the incumbent is endorsed to continue their normal term, if applicable, the standard Dean Review procedure will be undertaken in the ordinary course.

C. Term

A Dean will normally serve no more than two terms.

Any exception to the two-term limit will be based on a recommendation from the Provost to the President, who will make the final decision.

In instances where the President decides that a third term may be sought, the Faculty Deans Review Procedure or a Dean Selection Procedure will be implemented at the discretion of the Provost and President.

Under no circumstances will a Dean serve more than three terms.

2. THE DEAN REVIEW COMMITTEE

A. Mandate of the Dean Review Committee

The mandate of the Committee is to make recommendations to the Provost and President on the reappointment of an incumbent Dean. To fulfill this mandate, the committee is charged with reviewing the performance of an incumbent Dean, collecting feedback through broad consultation with stakeholders, and conducting an interview with the incumbent.

The Committee will be struck at least 8 months before the end of the incumbent's term.

The Provost as chair of the Committee is responsible for:

- making Committee members aware of their obligations under applicable University policies, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the *Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy*, the **University's Employment Equity Statement** and the *EDI Strategic Plan* all as may be amended from time to time and documenting and confirming these efforts
- providing Committee members with applicable resources, including but not limited to, training offered by the Disclosure, Assurance and Institutional Research and Human Resource Services (HRS).

Committee members are responsible for

- familiarizing themselves with the principles of equity, diversity and inclusivity, concepts of bias awareness and discrimination, the obligations under applicable University policies, in particular, the *Discrimination, Harassment and Duty to Accommodate Policy*, the *Conflict Policy – Conflict of Interest and Commitment and*

Institutional Conflict Policy, the University's Employment Equity Statement and the EDI Strategic Plan all as may be amended from time to time.

- abiding by the Statement of Ethical Conduct with a particular focus on the management of conflict of interest and conflict of commitment throughout the process.

B. Composition

- i. The members of the Committee are:
 - Provost, or designee, (Committee Chair);
 - Vice-President (Research and Innovation), or designee, Committee Vice-chair;
 - Vice-Provost and Dean of the Faculty of Graduate Studies and Research, or designee;
 - 2 Academic Faculty Members from the incumbent Dean's Faculty, to be elected by Faculty Council;
 - 1 Undergraduate and 1 Graduate Student from the incumbent Dean's Faculty, to be selected by the Students' Union and the Graduate Students' Association;
 - 1 Support staff member (Category S1.0) from the incumbent Dean's Faculty
 - 1 Administrative and Professional Officer (A1.2), or Management and Professional Staff (MAPS) from the incumbent Dean's Faculty;

The largest proportion (>50%) of the total Committee membership should be comprised of Academic Faculty Members, the Provost, Vice-President (Research and Innovation), and Vice-Provost and Dean of FGSR).

Elected representative(s) from other academic staff categories may be added in Faculties where the staff numbers are sufficient (ATS, FSO, TRAS and/or TLAPS).

The composition of the Committees for the Vice-Provost and Dean of Students, and the Vice-Provost and Dean of FGSR, and the Vice-Provost and Chief Librarian may be different and are specified in *Faculty Deans Selection Procedure Appendix A: Committees for Individual Faculties*.

- ii. Equity, diversity and inclusivity should factor into the composition of the review committee members.
- iii. Procedures for the selection of faculty members, students, staff and Management and Professional staff should be documented and reviewed by the Office of the Provost and Vice-President (Academic) to ensure that they are consistent with the principles expressed in the *Recruitment Policy* around equity, diversity, and inclusivity.

The incumbent Dean will not be eligible to vote in the election of representatives to serve on their Dean review committee.

- iv. Once the Committee has been established, the Provost and Vice-President (Academic) will consult with the Chair or Vice-Chair of the GFC Nominating Committee and name up to two additional members to the selection committee to ensure sufficient representation and diversity.
- v. Conflict of interest must be managed proactively across the review process. The Provost may consult the incumbent Dean on the composition of the review committee to assess potential or perceived conflicts of interest. The Provost will have the authority to assess whether any real or perceived conflict of interest can be managed. If the conflict cannot be managed effectively, the Provost will replace the Committee member.

All Committee members shall complete conflict of interest declarations, and any identified real or perceived conflicts of interest must be managed in accord with relevant university policies. Where a real or perceived conflict of interest cannot be managed to the satisfaction of the Provost, the Committee member will be replaced.

C. Procedures

1) Quorum

At any Committee meeting where a decision is made, at least one (1) of the two (2) Vice-Presidential members must be present, that is, either the Chair or Vice-Chair, and no more than two (2) of the other members shall be absent.

2) Confidentiality

Personal information collected or created by or on behalf of the Committee is confidential and must be managed in accordance with the University's Access to Information and Protection of Privacy Policy.

Members of the Committee will be required to sign confidentiality agreements. At any time in the process, the Chair may remove members from the Committee who fail to honor commitments to confidentiality. Members may seek information from their constituencies and keep constituencies apprised of the non-confidential aspects of the review process. The Chair will guide Committee members with respect to consultations with their constituencies.

3) General

The Chair is responsible for making Committee members aware of their obligations under the *Discrimination, Harassment and Duty to Accommodate Policy*, *Code of Conduct*, the *Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy* and of applicable resources, including but not limited to the training offered by the Disclosure, Assurance and Institutional Research and Human Resource Services (HRS).

Committee members are responsible for awareness of equity, anti-discrimination and bias awareness, and knowledge of relevant policies and procedures prior to the first meeting. This should be confirmed and documented by the Chair.

3. REVIEW PROCESS

A. Review Criteria

The Provost, in consultation with the President, will provide the Dean with the review criteria for reappointment. The review criteria will include an assessment of their achievements as Dean and the position description used at the time of appointment. The review criteria will take into consideration any issues that arose over their term.

The Dean will write a self-assessment on their performance relevant to the review criteria over their first term. The Committee will use the criteria to guide consultations with the Faculty and relevant university and community stakeholders and to inform their recommendation on the reappointment of the incumbent.

B. Consultations and recommendation on reappointment

The Provost will determine a suitable consultation procedure to be implemented on a suitable timeframe to promote equitable participation by community members and stakeholders and fair evaluation of the incumbent.

The Committee will consult at a minimum with Academic Faculty Members, staff, and students.

The Committee will solicit feedback from stakeholder groups as determined to be relevant according to review criteria.

All consultations, including the Faculty forum, will be documented and a process for online written submissions will be established. Anonymous submissions will not be admitted but submissions may be anonymized before submission to the Committee.

The relevancy of all materials submitted will be determined by the Committee in consultation with Faculty Relations.

The Committee should consult with diverse colleagues as well as proactively solicit feedback from individuals from diverse backgrounds and perspectives.

Members of the Faculty are strongly encouraged to provide feedback during the consultations to ensure broad input.

C. Feedback Provided to the Dean

After the relevancy of all material submitted has been determined by the Committee and Faculty Relations, the Chair will provide the incumbent Dean with a summary of the material gathered respecting the confidentiality of respondents where requested. Simply providing original documents with identifying information redacted will not be acceptable.

D. Faculty Forum

- The Committee members will attend a Faculty forum for members of the Faculty and University community, which the Provost will chair.
- The Provost will be invited to present a summary of the Dean's achievements during their term(s) as Dean as relevant to the review criteria.
- The Dean will give an oral presentation that must include achievements during their term(s) as Dean, and address any expectations that arose during their term, and articulate their vision and goals for the next term.

- There will be time at the end of the presentations for Q & A from attendees.
- An online consultation will remain open to the community for a minimum of 3 working days following the forum to gather feedback on the Dean's presentation provided at the Faculty Forum.

4. RECOMMENDATION ON REAPPOINTMENT

- The Committee will meet to review the feedback from the community following the Faculty forum. Consideration of all materials provided will inform their decision.
- The Committee will vote to either support or deny the incumbent Dean's reappointment.
- The Provost will advise the President of the committee's recommendation. If the President doesn't accept the committee's recommendation, the President will meet with the committee to explain the President's reasons.
- When the President endorses reappointment of the Dean, the President will then recommend to the Board of Governors through the BHRCC that the Dean be reappointed. BHRCC will vote to reappoint the Dean or not.
- Following a decision not to renew the appointment of the Dean, or to terminate the appointment of the Dean after a review pursuant to Section 5 of this Procedure, the President will inform the Board of the decision and instruct the Provost to initiate the Selection of Faculty Deans Procedure and invite the Provost to appoint an Interim Dean.

5. EXCEPTIONS TO THESE PROCEDURES

At any time, notwithstanding the provisions in these procedures, the President, in their discretion, may recommend the suspension or termination of the appointment of a Dean without establishing a Committee where any action, omission, policy violation, or behaviour of the Dean, alleged or in fact, becomes or reasonably could become materially injurious to the University and its reputation. Termination of the appointment as Dean does not alter the academic appointment of the Dean under the Board/AASUA Collective Agreement. The recommendation of suspension or termination of the appointment of a Dean under such conditions will be made by the President to BHRCC, following which BHRCC will decide whether to suspend or terminate the appointment of a Dean.

6. DELEGATION OF AUTHORITY

By virtue of the *Post-secondary Learning Act* (section 21(1), 83 and 84(1)), the appointment of a Dean is made by the Board of Governors (Board) who has delegated its authority to the BHRCC in accordance with procedures approved by General Faculties Council.

With respect to the Dean Review Procedures, the Board and GFC delegate their approval authority to the GFC Executive Committee for all routine or editorial amendments. For substantive amendments, the GFC Executive Committee recommends to the BHRCC, which retains approval authority for substantive amendments. The Provost and Vice-President (Academic) determines whether amendments are routine/editorial or substantive.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [▲ Top](#)

Equity/Equitable	<p>In the context of this policy, equity is about fair access to employment and the opportunity to succeed in this domain. Employment equity principles, policies, and practices promote [or facilitate] access, representation, opportunities, and meaningful participation of persons historically under-represented.</p>
Diversity	<p>In the context of this policy, diversity refers to the demographic and identity difference and-variety within the University's workforce, including that based on the protected grounds. More broadly, within the University, diversity also encompasses difference or variety in education, ideas, perspectives, opinions, heuristics, disciplines, methodologies, epistemologies, faculties, skills, and learning</p>

	opportunities.
Inclusion/Inclusivity	In the context of this policy, inclusion is a principle and practice that values and cultivates the full and meaningful participation and representation of persons historically under-represented in the University's workforce.
Senior Administrators	President, Vice-Presidents, Deputy Provost, Associate Vice-Presidents, Vice-Provosts, Deans, Directors and Chairs.
Employee(s)	A person employed by the University and defined under <i>Recruitment Policy (Appendix A) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff</i> or <i>Recruitment Policy (Appendix B) Definition and Categories of Support Staff</i> .
Persons historically under-represented	Women, Indigenous persons (First Nations, Métis, Inuit), members of visible minority groups, persons with disabilities, persons who identify with under-represented sexual orientations, gender identity or expression.
Protected grounds	Refers to those grounds set out and defined in the <i>Alberta Human Rights Act</i> and in the University's <i>Discrimination, Harassment and Duty to Accommodate Policy</i> (UAPPOL) which are: race, religious beliefs, colour, gender, gender identity, gender expression, physical disability, mental disability, age, ancestry, place of origin, marital status, source of income, family status, sexual orientations or political beliefs.
University Employment Equity Statement	"The University of Alberta is committed to an equitable, diverse, and inclusive workforce. We welcome applications from all qualified persons. We encourage women; First Nations, Métis and Inuit; members of visible minority groups; persons with disabilities; persons of any sexual orientations or gender identity and expression; and all those who may contribute to the further diversification of ideas and the University to apply."
Conflict	Conflict of interest, conflict of commitment, or institutional conflict as defined in the University of Alberta Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict Policy.

FORMS

There are no forms for this Procedure. [[▲ Top](#)]

RELATED LINKS

Should a link fail, please contact uappol@ualberta.ca. [[▲ Top](#)]

[Access to Information and Protection of Privacy Policy](#) (UAPPOL)

[Recruitment Policy \(Appendix A\) Definition and Categories of Academic Staff, Postdoctoral Fellows, Academic Colleagues and Excluded Academic Staff](#) (UAPPOL)

[Recruitment Policy \(Appendix B\) Definition and Categories of Support Staff](#) (UAPPOL)

[Faculty Deans Selection Procedure](#) (UAPPOL)

[Faculty Deans Selection Procedure Appendix A: Dean Selection Committees for Individual Faculties](#) (UAPPOL)