

 <b>DALHOUSIE UNIVERSITY</b>  <b>SENIOR ADMINISTRATIVE APPOINTMENTS POLICY AND PROCEDURES</b>	<i>Policy Sponsor:</i> Board of Governors	<i>Approval Date:</i> Senate: June 10, 2013 Board: June 25, 2013
	<i>Responsible Unit:</i> President's Office	<i>Revisions:</i> Senate: April 14, 2014 Board: June 24, 2014 Addendum (Section D.4): Board: October 21, 2014 Addendum 2 (Section D.4): Board: June 28, 2016 Board: June 27, 2017

**A. Background & Purpose**

Given the necessity for strong university administration and leadership, it is essential for Dalhousie to appoint administrators of the best quality possible. In all cases, it is understood that the Board of Governors retains the sole power of appointment. It is important, however, for appointment decisions to be informed by consultation of interested constituencies to make it more likely that the best possible choice is made and the person appointed assumes office in an atmosphere of good will and cooperation.

The appointment of senior university administrators requires (1) consultation with interested constituencies from the university community, (2) thorough assessment of the professional experience and personal qualities of candidates, (3) compliance with fair hiring principles and (4) accountability within the university governance structure. These concerns should be reflected in the makeup of and procedures followed by appointments committees, and the determination of the needs of the position being filled.

This purpose of this Policy and Procedures is to establish principles and procedures for the appointment of senior university administrators.

**B. Application**

This Policy applies to the following positions:

- President and Vice-Chancellor
- Vice-Presidents
- Associate Vice-Presidents
- Assistant Vice-Presidents

- Deans
- University Librarian
- Associate Deans
- Assistant Deans
- Directors, Heads and Chairs of Academic Units
- Other positions as approved by the Board from time to time in accordance with the Policy.

### C. Definitions

#### 1. In this Policy:

- a. “Board” means Dalhousie’s Board of Governors;
- b. “Faculty-based senior administrative appointment” means a senior administrative appointment made below the level of the Dean within a Faculty, including, but not limited to, Associate Dean, Assistant Dean, Directors, Heads and Chairs;
- c. “review committee” means a committee established to assess and make a recommendation concerning whether or not the term of a senior administrator with a term appointment should be renewed, as described in section E.3 of the Policy;
- d. “search committee” means a committee established to recruit and recommend candidates for a senior administrative appointment, as described in Section E.2 of the Policy;
- e. “senior administrative appointment” means an appointment to a senior administrative position;
- f. “senior administrative position” means any one of the following positions: President, Vice-President, Associate Vice-President, Assistant Vice-President, Dean, University Librarian, Associate Dean, Assistant Dean, Directors, Heads and Chairs, and other positions as approved by the Board in accordance with Section D.5 of the Policy;
- g. “senior administrator” means a person who holds a senior administrative position;
- h. “term appointment” means an appointment with a term of no greater than 5 years, or 6 in the case of the President, which coincides with an underlying academic appointment to a Faculty Department, School, College, or Library.

### D. Policy

1. All senior administrative appointments shall be made in accordance with this Policy and applicable Procedures.
2. Senior administrative appointments are made following the recommendation of the applicable search committee, subject to the following approvals:

- a. President and Vice-Presidents: full Board
  - b. Associate Vice-Presidents, Deans, University Librarian: Board Academic and Student Affairs Committee
  - c. Assistant Vice-Presidents: President
  - d. Associate Deans, Assistant Deans, School Directors, Heads and Chairs: Vice-President Academic and Provost
3. Term appointments are required for the position of President and any other senior administrative position whose responsibilities are academic in nature. All other senior administrative appointments shall not be accompanied by an academic appointment and shall be on terms set out in a letter or contract of employment. The latter requirement shall not preclude the negotiation of an academic appointment coincident with the negotiation of the senior administrative employment contract terms, provided that the appropriate processes for making such appointments are followed.
  4. Any new classification or general type of senior administrative position must be approved in advance by the Board. Such approval shall identify:
    - a. whether the position shall carry a term appointment based on the criteria set out in section D.3;
    - b. the general reporting structure for the position; and
    - c. who shall approve appointments made to such positions on behalf of the Board.
  5. Incumbents of term appointments may be considered for reappointment following a favourable review of both their performance and the structure and function of their office by a review committee.
  6. Incumbents shall not participate in the search processes related to their position. If requested by the applicable committee, however, the incumbent may provide information relating to the functions of the position.
  7. In the event of an unscheduled vacancy of a senior administrative position, an acting appointment may be made for a period not to exceed one year:
    - a. In the case of the President or Vice-Presidents, by the Board;
    - b. In the case of all other senior administrative appointments above the level of Associate Dean, by the President; and
    - c. In the case of Faculty-based senior administrative appointments, by the applicable Dean.
  8. Where circumstances warrant, a term of a senior administrator with a term appointment may be extended for a period not to exceed one year:
    - a. In the case of the President or Vice-Presidents, by the Board;
    - b. In the case of all other senior administrative appointments above the level of Associate Dean, by the President; and
    - c. In the case of Faculty-based senior administrative appointments, by the applicable Dean

9. Senior administrators with term appointments may be dismissed from their senior administrative position prior to the expiration of their term:
  - a. without cause, upon providing six months prior written notice (or pay in lieu thereof); or
  - b. with cause and without notice, provided that they have been provided the opportunity to discuss the basis for the dismissal with the senior administrator to whom they report.
  
10. All discussions and deliberations by search committees and review committees, and all information gathered by them, shall be held in strict confidence, to be disclosed only as necessary to make the recommendations required by the committee. Personal opinions about a candidate or incumbent will be disclosed only in such a way that the identity of the individual proffering the opinion is not reasonably discernible.
  
11. Procedures to support this Policy for all senior administrative appointments, except Faculty-based senior administrative appointments, are set out in Section F. Procedures to support this Policy for Faculty-based senior administrative appointments shall be established by the Dean of the relevant Faculty.

#### **E. Administrative Structure**

1. Authority: This Policy falls under the authority of the Board of Governors. The Board of Governors has statutory power to make appointments and establish terms and conditions of appointment. The Board has delegated its authority to the Board Academic and Student Affairs Committee, to the President, and to the Vice-President Academic and Provost as set out in the Policy and Procedures.
  
2. Search Committee. A search committee is a committee established to recruit and recommend the appointment of a senior administrator. Search committees shall be established:
  - a. In the case of a Faculty-based senior administrative position, by the Dean, in accordance with applicable Faculty procedures;
  - b. In the case of a senior administrative position with a term appointment, in accordance with section F.1.4 and F.1.5; and
  - c. In the case of all other senior administrative positions, in accordance with section F.3.3 and F.3.4.
  
3. Review Committee: A review committee is a committee established to assess and make a recommendation concerning whether or not a senior administrator with a term appointment should be reappointed for a further term. Review committees shall be established:
  - a. In the case of a Faculty-based senior administrative appointment, by the Dean, in accordance with applicable Faculty procedures;
  - b. In the case of all other senior administrative positions with a term appointment, in accordance with section F.2.2.

In the case of an unfavourable review, in all cases but the President, the review committee becomes the search committee.

4. Conflicts of Interest: Where a search committee or review committee member is unable to discharge his or her responsibilities under this Policy due to a potential conflict of interest, as defined by the University Policy on Conflict of Interest, he or she will be replaced by the Chair.
5. Record-keeping: The Chair of each search committee and review committee is responsible for maintaining an appropriate record of the deliberations, decisions and information gathered by the committee. At the conclusion of the committee's work, the Chair shall collect all documentation from the other Committee members, and shall forward this material, together with the Chair's record, to the University Secretary where it will be stored securely in accordance with record retention policies of the University Secretariat.

### **F.1 Search Procedures – Term Appointments (Excluding Faculty-Based Senior Administrative Positions)**

1. Applicability of this Procedure: This Procedure F.1 applies to all senior administrative positions that have term appointments, but excluding Faculty-based senior administrative positions.
2. Declaration of interest in reappointment: The incumbent must provide notice to the person to whom they report a minimum of 12 months prior to the expiry of the term of the appointment, or 18 months in the case of the President, as to whether the incumbent will be seeking reappointment.
3. Search Committee vs. Review Committee: If the incumbent does not wish to seek reappointment, a search committee will be established as described in section F.1.4 and F.1.5 of the Procedures under the direction of the committee chair. If the incumbent wishes to seek reappointment, a review committee will be established in accordance with section F.2.2 of the Procedures.
4. Search Committee Chair: The chair of the search committee shall be the person to whom the senior administrative position in issue reports. The chair shall be a non-voting member except when necessary to break a tie vote. In the case of the President's search committee, the Board Chair, in consultation with the Chair of Senate, shall recommend search committee membership to the Board, in accordance with the principles set out in section F.1.5. In all other cases, the chair of the search committee shall determine the committee membership in accordance with the principles set out in section F.1.5.
5. Search Committee Membership: The following principles shall be followed in selecting search committee members, all of whom shall be voting members:
  - a. In the case of the President, there shall be an equal number of Board-appointed members and non-Board-appointed members. Non-Board-appointed members shall include members appointed by Senate and a minimum of one student appointed by the Dalhousie Student Union, and may include other members of the University community

who would be able to provide an informed perspective relevant to the scope of the position's responsibilities. The majority of Non-Board-appointed members shall be members appointed by Senate;

- b. In the case of Vice-Presidents with term appointments, there shall be a minimum of one external Board-appointed member, a minimum of one Senate-appointed member, a minimum of one student appointed by the Dalhousie Student Union, and other members of the University community who would be able to provide an informed perspective relevant to the scope of the position's responsibilities;
  - c. In the case of Associate Vice-Presidents, the search committee shall include Board members, members appointed by Senate, and other members of the University community who would be able to provide an informed perspective relevant to the scope of the position's responsibilities.
  - d. In the case of the Dean and the University Librarian, the search committee shall include at a minimum: four members from within the Faculty or Library in accordance with the Faculty's or Library's established procedures, one student appointed in accordance with the Faculty's or Library's established procedures, one faculty member from outside the Faculty or Library to which the candidate will be appointed (except in the case of the Faculty of Graduate Studies), and any individuals external to the University as may be required or permitted by the Faculty's or Library's established procedures.
6. Process for search: The chair of the search committees shall determine the process that will be followed in the search, ensuring that all elements of the search process (advertising, screening, interviewing, short-listing, communicating with candidates, reference-checking, among others) are consistent with:
- a. this Policy and Procedures;
  - b. Faculty or Library procedures (where applicable);
  - c. current human resources practices related to comparable positions; and
  - d. University employment equity policies and practices.
7. Development of the candidate profile: Prior to consideration of any candidates, the search committee shall develop a candidate profile or profiles designed to elicit the best candidate for the position in the then current context. The candidate profile shall be informed by:
- a. Consultation with Senate, the Board, other relevant senior administrators, and individuals and organizations within the broader university community concerning the requirements, challenges and opportunities of the position;
  - b. Recommendations from prior reviews or other assessments as they relate to the functioning and structure of the office;
  - c. University's strategic plan, and any applicable administrative or academic unit strategic plan;
  - d. Information from the incumbent about the nature and function of the position, if desired; and
  - e. Other information deemed relevant by the chair of the search committee.

8. Meetings with University Community: For all positions except the President, if the search committee deems it desirable and all of the short-listed candidates agree, the search committee may arrange for the candidates to meet members of interested groups within the university community. Feedback from these meetings will be provided to the search committee in confidence.
9. Recommendation: The search committee shall recommend a candidate for the position to the chair of the search committee who shall in turn make a recommendation to the Board or its delegate in accordance with section D.2 of the Policy. In the event that the chair of the search committee rejects the recommendation of the search committee and puts forward a different candidate, the Board or delegate shall be advised of the nature and basis of the search committee's recommendation together with the reason for rejecting the recommendation and the basis for the alternate recommendation.
10. Failed search. In the event of a failed search, the chair of the search committee shall have the discretion to strike a new search committee or to continue with the existing search committee.
11. Appointment offers: Offers of appointment shall be made to the successful candidates in accordance with the Board Document Execution/Signing Authority Policy.

## **F.2 Review Procedures – Term Appointments (Excluding Faculty-based senior administrative positions)**

1. Applicability of this Procedure: This Procedure F.2 applies to all senior administrative positions that have term appointments, but excluding Faculty-based senior administrative positions.
2. Review Committee: Where it is determined under section F.1.3 that a review committee is required, the review committee shall be established in the same manner as the search committee, as set out in sections F.1.4 and F.1.5.
3. Determination of scope of evaluation: The chair of the review committee shall consult with the incumbent concerning the scope of activities to be covered by the evaluation. The review committee shall establish the scope of activities to be covered by the evaluation in terms of the incumbent's performance, plans for the next term, as well as the structure and functioning of the incumbent's office more broadly.
4. Self-Evaluation. The incumbent shall submit a report to the review committee via the committee chair assessing the incumbent's own performance in each area identified for evaluation.

5. Stakeholder consultation. The review committee shall invite informed opinion in relation to the areas identified for evaluation from members of the broader community who are relevant to the scope of the responsibilities of the position, including:
  - a. Senate officers;
  - b. Board members;
  - c. Other senior administrators;
  - d. Student leaders;
  - e. Faculty and staff from all campuses, including the organizations that represent them, if relevant; and
  - f. Individuals and organizations external to the university community where deemed appropriate by the chair of the review committee given the scope of the responsibilities of the position.
6. Meetings with the incumbent: Once the review committee has concluded stakeholder consultation, the incumbent shall meet with the review committee to present the incumbent's vision for the next term and to address any issues raised by the review committee, including those arising from the stakeholder consultation and the self-evaluation.
7. Report: The review committee shall prepare a report:
  - a. Outlining the assessment of the incumbent's performance as well as the structure and functioning of the incumbent's office more broadly, all in relation to the areas identified for evaluation;
  - b. Recommending whether or not the incumbent's appointment should be renewed, and if so, the recommended length of term;
  - c. Identifying any areas of focus for the next term of the appointment; and
  - d. Noting any dissenting members and the basis for the dissension, in relation to any aspect of the report.
8. Report submission: The report shall be submitted through the President (or through the Board Chair, in the case of the President), to the Board or its delegate in accordance with Section D.2 of the Policy.
9. Transition to Search Committee. In the event that the review committee recommends against reappointment and this recommendation is accepted by the Board or designate, the members of the review committee shall become the search committee, except in the case of the President, where a separate search committee shall be established.
10. Re-Appointment. In the event that the review committee recommends reappointment and this recommendation is accepted by the Board or delegate, the terms of the reappointment shall be made in accordance with the Board Document Execution/Signing Authority Policy.

### **F.3 Search Procedures – Appointments that are not Term Appointments**

1. Applicability of this Procedure: This Procedure F.3 applies to all senior administrative positions that are not term appointments, but excluding Faculty-based senior administrative positions.
2. Search Committee Chair: The chair of the search committee shall be the person to whom the senior administrative position in issue reports. The chair shall be a non-voting member except when necessary to break a tie vote. The chair of the search committee shall determine the committee membership in accordance with section F.3.3.
3. Search Committee Membership: The search committee shall include representation from the following constituencies, all of whom shall be voting members:
  - a. Board member(s)
  - b. Member(s) appointed by Senate
  - c. Other senior administrator(s) appointed by the President
  - d. Other administrator(s) appointed by the President
  - e. Other members of the University Community who would be able to provide an informed perspective relevant to the scope of responsibilities for the position in issue (such as students, alumni) where applicable to the position.
4. Process for search: The chair of the search committee shall determine the process that will be followed in the search, ensuring that all elements of the search process (advertising, screening, interviewing, short-listing, communicating with candidates, reference-checking, among others) are consistent with:
  - a. this Policy and Procedures;
  - b. current human resources practices related to comparable positions; and
  - c. University employment equity policies and practices.
5. Development of the candidate profile: Prior to consideration of any candidates, the search committee shall develop a candidate profile or profiles designed to elicit the best candidate for the position in the then current context. This shall be informed by:
  - a. Consultation with those members of the University community who would be able to provide an informed perspective concerning the requirements, challenges and opportunities of the position (including members of Senate and the Board when relevant to the functions of the position);
  - b. Recommendations from prior reviews or other assessments as they relate to the functioning and structure of the office;
  - c. University's strategic plan, and any applicable administrative or academic unit strategic plan;
  - d. Information from the incumbent about the nature and function of the position, if desired; and
  - e. Other information deemed relevant by the President.

6. Recommendation: The search committee shall recommend a candidate for the position to the chair of the search committee who in turn shall make a recommendation to the Board or its delegate in accordance with section D.2 of the Policy. In the event that the chair of the search committee rejects the recommendation of the search committee and puts forward a different candidate, the Board or delegate shall be advised of the nature and basis of the search committee's recommendation together with the reason for rejecting the recommendation and the basis for the alternate recommendation.
7. Failed search. In the event of a failed search, the chair of the search committee shall have the discretion to strike a new search committee or to continue with the existing search committee.
8. Appointment offers: Offers of appointment will be made to the successful candidate in accordance with the Board Document Execution/Signing Authority Policy.

## SENIOR ADMINISTRATIVE APPOINTMENTS POLICY AND PROCEDURES

### Addendum

Addition of Position Classifications of Provost, Vice-Provost and Assistant Vice-Provost (Section D. 4.)

(Approved by the Board of Governors: October 21, 2014)

WHEREAS Section D. 4. of the Senior Administrative Appointments Policy and Procedures (“the Policy”) provides that any new classification or general type of senior administrative position must be approved in advance by the Board.

AND WHEREAS Section D. 4. of the Policy also provides that such approval shall identify

- a) whether the position shall carry a term appointment based on the criteria set out in the Policy;
- b) the general reporting structure for the position; and c) who shall approve appointments made to such positions on behalf of the Board.

NOW THEREFORE BE IT RESOLVED:

1. THAT the Board, on the recommendation of the Governance and Human Resources Committee, approve the new senior administrative position classification of **Provost**, such position to be a term appointment reporting to the President, with appointments to such positions to be approved by the Board.
2. AND THAT the Board, on the recommendation of the Governance and Human Resources Committee, approve the new senior administrative position classification of **Vice-Provost**, such position to be an administrative appointment without term reporting to the Provost, with appointments to such positions to be approved by the President.
3. AND THAT the Board, on the recommendation of the Governance and Human Resources Committee, approve the new senior administrative position classification of **Assistant Vice-Provost**, such position to be an administrative appointment without term reporting to the Vice-Provost, with appointments to such positions to be approved by the Provost.

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Addendum 2

Addition of Position Classification of Senior Assistant Vice-Provost (Section D. 4.)

(Approved by the Board of Governors: June 28, 2016)

NOW THEREFORE BE IT RESOLVED:

THAT the Board of Governors, on the recommendation of the Governance and Human Resources Committee, approve the new senior administrative position classification of Senior Assistant Vice-Provost, such position to be an administrative appointment without term reporting to the Vice-Provost, with appointments to such positions to be approved by the Provost.