

Approval Date: April 26, 2012
Most Recent Approval Date: April 11, 2016
Most Recent Editorial Date: December 13, 2013
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/procedure extends to all Academic Staff and Colleagues and Support Staff as outlined and defined in Recruitment Policy (Appendix A and Appendix B).

Overview

With respect to the procedures for the review of a **Faculty Dean (“Dean”)**, the Board, and GFC delegate their approval authority to the General Faculties Council 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 Board Human Resources and Compensation Committee (BHRCC). The Provost and Vice-President (Academic) will determine what is of a routine/editorial or substantive nature.

These authorities over procedures are related to the appointment of academic staff and embrace the renewal and termination of appointments of senior administrators including Deans. GFC has thus enacted procedures related to these matters, as set out below.

Purpose

To detail the standard procedures for the review of Deans in anticipation of an end of a term or during the term.

PROCEDURE

1. REVIEW OF A DEAN

Review of a Dean may come about either in anticipation of an end of term or during the term as follows:

- a. In anticipation of an end of term (if the possibility of a second term is provided for in the terms of appointment).
 - i. Such a review should serve two purposes. The first is the traditional one of determining if an appointment is to be renewed. The second is to provide an opportunity for a Dean to obtain an objective and helpful assessment which may not be available by other means.
- b. During the term by petition as follows:
 - i. Petitions for a review of the performance of a Dean will be submitted to the Provost and Vice-President (Academic) (the “Provost”).
 - ii. Where the petition is signed by a majority of faculty members in the Faculty, the Provost must establish the appropriate review committee.
 - iii. Signatories to petitions for review committees for Deans may not include members on leave.
 - iv. 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 or not a review committee will be established via the petition, nonetheless.
- c. During the term at the joint initiative of the President and the Provost in which case the review will be completed either by a review committee or through an alternative process to be determined by the President and the Provost.

2. THE REVIEW COMMITTEE

a. Composition of review committees

The composition of the review committees varies by Faculty. Changes to the composition of individual Faculties' review committees may be initiated by the Faculty or by the Provost. The compositions of the review committees must be approved by their respective Faculty Councils (or equivalent).

The members of the review committee will include:

- i. Provost, or designee, review committee chair;
 - ii. Vice-President (Research), or designee, review committee vice-chair;
 - iii. Vice-Provost and Dean of the Faculty of Graduate Studies and Research, or designee;
 - iv. **Faculty members**;
 - v. **Students**;
 - vi. **Staff**; and
 - vii. Representation from General Faculties Council.
- b. Once the review committee has been established and all members elected or designated, the Provost will consult with the President on the composition of the selection committee. The President may, in consultation with the Chair or Vice-Chair of the GFC Nominating Committee, name up to two additional members to the selection committee to ensure broad representation.
- c. In no instance will the membership of a review committee include any person with an apparent conflict of interest as determined by the Provost.

Notwithstanding the provisions above, the Dean will not be eligible to vote in the election of departmental representatives to serve on the review committee.

3. PROCEDURES FOR REVIEWS BY A REVIEW COMMITTEE

Quorum

At any meeting of a review committee where a "final recommendation" is made, at least one (1) of the two (2) Vice-Presidential members must be present, that is, either the review committee chair or review committee vice-chair, and no more than two (2) of the other members will be absent.

General

- a. The specifics of appraising performance of a Dean to determine whether to renew the appointment fall within the jurisdiction of the review committee. The review should be based largely on an evaluation of the Dean's administrative performance. However, it should also be based upon the belief that teaching and research work are continuing commitments of all academics, whether or not they occupy administrative positions. While it is expected that a Dean remain active in at least one of these areas, the extent of such participation will be greatly influenced by the administrative needs of the specific Faculty.
- b. The review committee will obtain information about the effectiveness of the Dean and the desirability of the renewal or continuation of the appointment. As a minimum, the committee will solicit submissions from the staff of the Faculty in this regard.
- c. All submissions will be in writing and signed; the review committee will make every effort to ensure confidentiality.
- d. The relevancy of all materials submitted will be determined by the review committee.

Feedback to the Dean

After the relevancy of all material submitted has been determined by the review committee, the review committee chair will then provide in writing to the Dean a summary of that material. Comments contained in this summary will not be attributed to any person(s).

Submission by the Dean

The Dean will be invited to submit an oral or written presentation, or both, concerning his or her performance.

Negative "Preliminary Recommendation"

Where the "preliminary recommendation" of the review committee is not to recommend the renewal of the appointment of the Dean (or not to continue in the appointment in the case of a review initiated mid-term) the review committee chair immediately adjourns the meeting and, before reconvening the review committee, the review committee chair:

- a. Advises the Dean of the "preliminary recommendation" and also selects a time to meet with the Dean to discuss the situation.
- b. Invites the Dean to make additional submissions to the review committee. The submissions may be in writing and/or in person and may introduce material not previously before the review committee.
- c. Invites the Dean to submit a list of individuals who may have information of value to the review committee. The review committee will have the discretion to determine which individuals will be invited to provide information.
- d. After sufficient discussion, polls the review committee to reach a "final recommendation" on the case.

4. DECISION MAKING

- a. The review committee chair will present the review committee's final recommendation to the President, in writing, with a copy to the Dean.
- b. The President will accept or reject the review committee's recommendation.
- c. If the President does not accept the review committee's recommendation, he/she will meet with the review committee to explain his/her views. Following that meeting, the President will meet with the Dean to discuss the situation.
- d. For a review about the reappointment of the Dean under section 1 (a), after considering the review committee's recommendation, the President will either:
 - i. decide not to reappoint the Dean, which decision is final and binding, and then inform the Board of that decision; or
 - ii. recommend to the Board that the Dean be reappointed, following which the Board will decide whether to reappoint the Dean.
- e. For a review or alternative process under section 1 (b) or (c), after considering the recommendation of the review committee or the results of the alternative process, the President will either:
 - i. decide that the Dean complete the term of appointment, which decision is final and binding, and then inform the Board of that decision; or
 - ii. recommend to the Board that the Dean's appointment be terminated, following which the Board will decide whether to terminate the appointment of the Dean before the end of the term.
- f. Following a decision not to renew the appointment of the Dean, or to terminate the appointment of the Dean, the President will instruct the Provost to initiate the Selection of Faculty Deans Procedure and may invite the Provost to appoint an Interim Dean to fill any vacancy in the office of the Dean.

5. EXEMPTIONS TO THESE PROCEDURES

Notwithstanding the provisions in these procedures, the President in his/her discretion may recommend the suspension or termination of the appointment of a Dean without establishing a review committee where any action, omission 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 relevant University academic staff agreement. The recommendation of suspension or termination of the appointment of a Dean under such conditions will be made by the President to the Board, following which the Board will decide whether to suspend or terminate the appointment of a Dean.

DEFINITIONS

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

Faculty Dean (“Dean”)	Shall include the Dean of the following Faculties: Agricultural, Life and Environmental Sciences; Augustana; Arts; Business; Education; Engineering; Extension; Graduate Studies and Research; Law; Medicine and Dentistry; Native Studies; Nursing; Pharmacy and Pharmaceutical Sciences; Physical Education and Recreation; Rehabilitation Medicine; Public Health; Saint-Jean; Science; and the Dean of Students; and the Chief Librarian
Faculty member	“Faculty Member” means a full-time faculty member (from Category A1.1 or A1. 6) who is employed at the University under the terms and conditions of the Board/AASUA Agreement – Faculty.
Student	Means any student enrolled at the University of Alberta, either full-time or part-time. The term “student” may be preceded by “undergraduate” or “graduate” or “full-time” for clarification.
Staff	Support Staff who are represented by and pay dues to the Non-Academic Staff Association (NASA) and who are employed by the University of Alberta.

FORMS

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

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