Academic Appointments

PREAMBLE

The quality of academic appointments substantially defines the quality of the University. This policy sets out procedures which are designed to recruit the best possible candidate for appointment according to the policies of the University.

In view of the importance of academic appointments, departments are encouraged to have a standing Appointments Committee to advise the Chair on appointments strategies and practices. The Appointments Committee shall be selected according to departmental procedures.

GENERAL

1. Employment Equity

The University is committed to an employment equity program so that no individual is denied access to employment opportunities for reasons unrelated to ability or qualifications. Departments shall employ appropriate strategies in order to encourage application by and consideration of individuals from designated groups which are under represented.

2. Hiring Policy

2.1 The quality of the University is reflected in the quality of its faculty and other academic staff. Academic appointments of the highest quality will be made, consistent with regulations of the Government of Canada on the appointment of individuals who are not Canadian Citizens or Permanent Residents of Canada.

2.2 Academic appointments, with the exception of visiting faculty appointments, will normally be filled by Canadian Citizens or Permanent Residents. If an intensive search fails to produce a suitable person to fill a particular position, a highly qualified non-Canadian may be appointed.

3. Advertising Category A and B Positions

Advertising academic vacancies is the method for ensuring that well-qualified candidates are informed of available positions

a. Academic positions in categories A. 1, B. 1 and B.2 must be advertised on the Vice President, Academic website.
b. Notices of all positions in these categories shall be circulated to Canadian universities.
c. These positions shall, wherever reasonably possible given publication deadlines, be advertised in the Academic Vacancies section of University Affairs published by AUCC and in the CAUT Bulletin.
d. Where the publication deadlines of University Affairs and the CAUT Bulletin are incompatible with the schedule to fill an academic position, advertising on the AUCC and CAUT websites can substitute for (c).
e. These positions shall also be advertised in the appropriate print and/or electronic media of the discipline.
f. In exceptional circumstances, the advertising requirements in (c), (d) and (e) may be varied by the Dean.
4. Non-Advertised Positions

In exceptional circumstances, a department may seek permission to proceed other than by way of an advertised search, for example, Tier 1 Canada Research Chairs or spousal appointments. A written request for an exemption must be submitted to the Dean, along with a detailed recruitment plan for the position. If a candidate has already been identified, the candidate’s curriculum vita should accompany the request. If the Dean supports the request he/she should forward it to the Vice President, Academic, whose decision is final.

5. Candidates for Higher Degrees at Simon Fraser University

a. A person who is a candidate for a degree at Simon Fraser University may not be appointed as a Senior Lecturer, Lecturer, Laboratory Instructor, Instructor, Assistant Professor, Associate Professor or Professor, in a department directly associated with the degree sought, until the degree requirements have been fulfilled.

b. A person who is a candidate for a degree at Simon Fraser University may not be appointed to a limited term position for a term which is longer than one year in a department directly associated with the degree sought until the degree requirements have been fulfilled.

6. Responsibility for Making Appointments

The responsibility for concluding appointments varies by category of appointment:

6.1 Category A Appointments by the Board of Governors

A.1 Faculty to tenure-track appointments (Professor, Associate Professor, Assistant Professor, Instructor) with or without tenure on appointment;

A.2 Appointments to University Chairs and Endowed University Professorships; (A 10.06)

A.3 Professor Emeritus/a who has not been a Professor for 10 years at S.F.U.; (A 12.11)

A.4 Faculty to tenured appointments after the standard review process within the institution (contained in A 11.01 and A 11.04);

A.5 Promotions within the professorial ranks (under procedures in A 11.01).

Appointments within these categories are made by the Board of Governors only on the recommendation of the President.

When time is of the essence, an appointment in Category A.1 or A.2 above may be concluded if approved by the President and Board Chair. Appointments concluded in this manner will be forwarded for information to the next scheduled meeting of the Board of Governors.

6.2 Category B Appointments Administratively Concluded by the Vice-President, Academic:

Lecturers, Senior Lecturers and Laboratory Instructors (A 12.01).

6.3 Category C Appointments Administratively Concluded by Dean of a Faculty

C.1 Visiting faculty (A 12.04)

C.2 Limited term appointments (A 12.01 and A 12.05)

C.3 Sessional Lecturers (A 12.09)

C.4 Sessional Instructors (T.S.S.U. Collective Agreement)

C.5 Teaching Assistants (T.S.S.U. Collective Agreement)
C.6 Language Instructors and Continuing Language Instructor (T.S.S.U. Collective Agreement)
C.7 DISC Supervisors, Tutors and Markers (T.S.S.U. Collective Agreement)
C.8 DISC Supervisors, Tutors and Markers (SFU Faculty and Staff)
C.9 Associate Members (A 12.07)
C.10 Adjunct Professors (A 12.08)
C.11 University Research Associates (R 50.01)
C.12 Faculty Associates and Program Coordinators in the Faculty of Education (A 12.06)
C.13 Post Retirement Appointments (A 12.10)

7. Changes in Conditions of Appointment

The academic administrator who is empowered to conclude an appointment shall also be empowered to change the dates and salary of the appointment.

A. ACADEMIC APPOINTMENTS PROCEDURES FOR CATEGORY A APPOINTMENTS BY THE BOARD OF GOVERNORS

A.1 Appointments of faculty to tenure-track appointments with or without tenure on appointment.

A.2 Appointments to University Chairs and Endowed University Professorships.

This procedure assumes the prior authorization of a position by the Vice-President, Academic. The rank and the maximum salary level will normally be specified by the Vice-President, Academic or the Dean. Furthermore, it is recognized that, while the Department Chair and/or the Dean might discuss terms with potential candidates within established parameters, it must be explicit in such discussions that there is no commitment until an offer of appointment is conveyed in a letter from the President. No contract exists until the candidate has signed a copy of the President’s letter indicating acceptance of the offer and returned the copy to the President, and in the case of a non-Canadian appointment, the person has obtained the necessary documents to allow him/her to take up the appointment.

A search may be undertaken where the budget has not been confirmed. In such cases, the advertisement shall state that the position is subject to funding, and a search may be discontinued at any stage prior to final approval.

1. Search Procedure

Prior to establishing the Search Committee, the Department Chair shall submit the structure of the proposed Search Committee to the Dean for approval.

2. Search Committee

The Search Committee shall be composed of faculty, faculty and non-faculty staff, or faculty and non-faculty staff and students, (depending on departmental practice). Faculty shall constitute the majority of the Committee. Both genders shall be represented on the Committee. The Chair of the Department shall chair the committee unless the Dean approves an alternate arrangement. The Chair is a voting member of the Committee.
3. Search Process

3.1 The Search Committee shall prepare a specific description of the position including the rank, an advertisement and a statement of the proposed recruiting plan, forward these to the Dean for review and approval, and carry out the approved recruiting. Advertisements shall contain University approved wording regarding employment equity and immigration regulations.

3.2 Applicants shall be asked to submit a curriculum vitae, the names of at least three referees from whom confidential letters of reference will be sought, and a statement of reasons for applying for the position. The Committee may seek further information concerning the candidates.

3.3 Following the advertising period, the Search Committee shall:
   a. review the applications and develop a short list which normally shall consist of three candidates. A Search Committee may short list a different number of candidates with the prior approval of the Dean. Only those holding or those eligible to be promoted to the advertised rank may be included on the short list;
   b. arrange for the visit of the short listed candidates. Each visit shall include an interview, presentation of a seminar on the candidate's research, a guest lecture in an undergraduate class (where feasible) and meetings with members of the department;
   c. make a recommendation of a candidate or a ranked list of candidates.

4. Recommendation for Appointment

4.1 Following the search, the Department Chair shall forward to the Dean the appointment form with a recommendation for appointment which carries the demonstrated support of the department and which shall include:
   a. a detailed statement of the actual search and selection procedure including actions taken to seek out members of designated groups;
   b. a copy of the advertisement(s) used;
   c. a full list of the candidates considered including a summary of relevant information about each including immigration status and gender where known;
   d. documentation on short-listed candidates, including for each a copy of a current curriculum vitae, three letters of reference, the statement of interest submitted by the candidate and a statement of teaching ability;
   e. a specific recommendation regarding the candidate or ordered candidates for whom approval is sought (including proposed rank and salary step according to the faculty salary scale), and an explanation of the rank ordering;
   f. when a non-Canadian is recommended for appointment, the recommendation shall be accompanied by a statement that the requirements set out by Canada Immigration have been fulfilled including that the Canadian and Permanent Residents were unsuitable;
   g. such additional information as the Chair considers relevant or the Dean requests.
   h. In exceptional circumstances, an appointment may be made granting the appointee tenure. There shall be a recommendation to this effect from the Tenure and Promotion Committee.
4.2 The Dean shall review the recommendation for appointment and,

   a. if he/she concurs, the Dean shall forward the recommendation together with his/her comments to the Vice-President, Academic.
   b. if he/she does not concur, the Dean shall refer the recommendation to the Department Chair for consultation or reconsideration, and if after such consultation or reconsideration, the Dean does not concur with the recommendations of the Department Chair, he/she shall attach his/her comments and forward both documents to the Vice-President, Academic.
   c. If the recommendation for appointment exceeds the budget or rank authorization given by the Dean, the Dean may reject the appointment recommendation and no appointment shall be made.

4.3 Vice-President, Academic

The Vice-President, Academic, shall review the recommendations of the Chair and Dean together with supporting documentation,

   a. if he/she supports the Department's recommendation for appointment, shall forward the recommendations to the President, or
   b. if he/she does not support the Department's recommendation for appointment, he/she shall refer the recommendation to the University Appointments Committee for consideration.

4.4 University Appointments Committee

The University Appointments Committee shall consist of six members of the Faculty College selected in accordance with A 11.04, section 4.4. The Committee shall elect its Chair. A member of a search committee may not also be a member of the University Appointments Committee. A quorum is three members.

The University Appointments Committee shall consider each case and shall either recommend a candidate for appointment in accordance with the recommendation of the Department Chair or refer the matter to the Department Chair with specific recommendations for further action.

4.5 President

The President shall consider the recommendation from the Vice-President, Academic, or the University Appointments Committee, as the case may be, and

   a. if he/she concurs, the recommendation shall be forwarded to the Board of Governors for action, or
   b. if time is of the essence, he/she may consult with the Chair of the Board and finalize an appointment. Such action must be reported to the next convenient meeting of the Board of Governors for information, or
   c. if he/she does not concur, the recommendation shall be returned to the Vice-President, Academic with specific recommendations for further action.

4.6 Appointment

When an appointment has been approved by the Board of Governors or by such means as the Board has authorized, the President shall convey a written offer of appointment to the candidate. The appointment letter will inform the appointee of the terms and conditions of his/her appointment, including rank, salary, duration of appointment, nature of services expected and, where applicable, length of time before consideration for contract renewal or tenure.

Please consult A 10.02 Technical Appointment Procedures for details.
5. Review of the search process and recommendation for appointment

5.1 Unsuccessful applicants to Category A.1 positions may request that the University Appointments Committee review the search process. This request must be submitted within three months of the date the applicant received notification that he/she was not recommended for appointment. If the University Appointments Committee has already considered the appointment, the President shall constitute another body with similar composition to review the case. The University Appointments Committee shall determine its own procedures.

5.2 The University Appointments Committee shall review cases raised by unsuccessful candidates only on the grounds listed in a), b) and c). If the case does not fall in one or more of these categories, the Committee shall dismiss the case. The grounds for review which will be considered by the Committee are:

a. that a procedural irregularity occurred during the appointment process which was likely to have materially influenced the recommendation with regard to the unsuccessful candidate;

b. that bias on the grounds of personal prejudice existed at any level of consideration of the review of the candidates or whether any candidate had a reasonable apprehension that such bias existed;

c. that the consideration of the candidates was adversely affected by discrimination contrary to the terms of the Human Rights Act of British Columbia.

5.3 If the Committee is satisfied that, although any one or more of such grounds for review has been established by a candidate, the ground for review was rectified, neutralized or obviated or otherwise satisfactorily dealt with at or by virtue of a subsequent level of consideration of the appointment process, the Committee shall rule against the applicant.

5.4 If the Committee is satisfied that any one or more of the grounds for review has been established by a candidate and not rectified, the Committee shall make an appropriate recommendation to the President. The President shall decide on a course of action.

5.5 The Committee shall file its report with the President and with the applicant.

B. APPOINTMENTS ADMINISTRATIVELY CONCLUDED BY THE VICE-PRESIDENT, ACADEMIC

Category B Lecturers, Senior Lecturers and Laboratory Instructors.

This procedure assumes the prior authorization of a position by the Vice-President, Academic. The rank and the maximum salary level may be specified by the Vice President, Academic or the Dean. Furthermore, it is recognized that, while the Department Chair and/or the Dean might discuss terms with potential candidates within established parameters, it must be explicit in such discussions that there is no commitment until an offer of appointment is conveyed in a letter from the Vice-President, Academic. No contract exists until the candidate has signed a copy of the Vice-President, Academic’s letter indicating acceptance of the offer, and returned the copy to the Vice-President, Academic. In the case of a non-Canadian appointment, the person must also have obtained the necessary documents to allow him/her to take up the appointment.

A search may be undertaken where the budget has not been confirmed. In such cases, the advertisement shall state that the position is subject to funding, and a search may be discontinued at any stage prior to final approval.

1. Search Procedure

Prior to establishing the Search Committee, the Department Chair shall submit the structure of the proposed Search Committee to the Dean for approval.
2. Search Committee

The Search Committee shall be composed of faculty, faculty and non-faculty staff, or faculty and non-faculty staff and students, (depending on departmental practice). Faculty shall constitute the majority of the Committee. Both genders shall be represented on the Committee. The Chair of the Department shall chair the Committee unless the Dean approves an alternate arrangement. The Chair is a voting member of the Committee.

3. Search Process

3.1 The Search Committee shall prepare a specific description of the position, an advertisement and a statement of the proposed recruiting plan, forward these to the Dean for review and approval, and carry out the approved recruiting. Advertisements shall contain University-approved wording regarding employment equity and immigration regulations.

3.2 Applicants shall be asked to submit a curriculum vitae, the names of at least three referees from whom confidential letters of reference will be sought, and a statement of reasons for applying for the position. The committee may seek further information concerning the candidates.

3.3 Following the advertising period, the Search committee shall:

a. review the applications and develop a short list of three candidates;

b. arrange for the visit of the short-listed candidates. Each visit shall include an interview, a guest lecture in an undergraduate class (where feasible), and meetings with the members of the department;

c. make a recommendation of a candidate or a ranked list of candidates.

4. Recommendation for Appointment

4.1 Following the search, the Department Chair shall forward to the Dean the appointment form with a recommendation for appointment which carries the support of the Department and which shall include:

a. a detailed statement of the actual search and selection procedure including actions taken to seek out members of designated groups;

b. a copy of the advertisement used;

c. a full list of the candidates considered, including a summary of relevant information about each, including immigration status and gender where known;

d. documentation on short-listed candidates, including for each, a copy of a current curriculum vitae, and three letters of reference, a statement of interest submitted by the candidate and a statement of teaching ability;

e. a specific recommendation regarding the candidate or ordered candidates for whom approval is sought (including proposed rank and salary step according to the appropriate salary scale), and explanation of the rank ordering;

f. when a non-Canadian is recommended for appointment, the recommendation shall be accompanied by a statement detailing the reasons why the Canadian/Permanent Resident applicants were unsuitable; and

g. such additional information as the Chair considers relevant or the Dean requests.

4.2 The Dean shall review the recommendation for appointment and,

a. if he/she concurs, the Dean shall forward the recommendation together with his/her comments to the Vice-President, Academic.
b. if he/she does not concur, the Dean shall refer the recommendation to the Department Chair for consultation or reconsideration, or

c. if after such consultation or reconsideration, the Dean does not concur with the recommendations of the Department Chair, he/she shall attach his/her recommendation and forward both recommendations to the Vice-President, Academic.

5. Appointment

5.1 The Vice-President, Academic shall review the recommendations from the Chair and Dean together with supporting documentation. If he/she supports the appointment, he/she shall sign the recommendation and shall send a letter to the candidate conveying an offer of employment and the terms and conditions of his/her appointment,

5.2 If the Vice-President, Academic does not support the appointment, the recommendation shall be referred back either to the Department or the Dean with direction as to how to proceed.

For further details, consult A 10.02, Technical Appointment Procedures.

6. Review of the Search Process and Recommendation for Appointment

6.1 Unsuccessful applicants in Category B appointments may request that the University Appointments Committee review the search process. This request must be submitted with three months of the date the applicant received notification that he/she was not recommended for appointment. The University Appointments Committee shall determine its own procedures.

6.2 The University Appointments Committee shall review cases raised by unsuccessful candidates only on the grounds listed in a), b) and c). If the case does not fall in one or more of these categories, the Committee shall dismiss the case. The grounds for review which will be considered by the Committee are:

a. that a procedural irregularity occurred during the appointment process which was likely to have materially influenced the recommendation with regard to the unsuccessful candidate;

b. that bias on the grounds of personal prejudice existed at any level of consideration of the review of the candidates or whether any candidate had a reasonable apprehension that such bias existed;

c. that the consideration of the candidates was adversely affected by discrimination contrary to the terms of the Human Rights Act of British Columbia.

6.3 If the Committee is satisfied that, although any one or more of such grounds for review has been established by a candidate, the ground for review was rectified, neutralized or obviated or otherwise satisfactorily dealt with at or by virtue of a subsequent level of consideration of the appointment process, the Committee shall rule against the applicant.

6.4 If the Committee is satisfied that any one or more of the grounds for review has been established by a candidate and not rectified, the Committee shall make a recommendation to the President. The President shall decide on an appropriate course of action.

6.5 The Committee shall file its report with the President and with the applicant.

Category C: Appointments Administratively concluded by the Dean of a Faculty

C.1 Visiting Faculty (A 12.04)
C.2 Limited Term Appointments (A 12.02 and A 12.05)
C.3 Sessional Lecturers (A 12.09)
C.4 Sessional Instructors (T.S.S.U. Collective Agreement)
C.5 Teaching Assistants (T.S.S.U. Collective Agreement)
C.6 Language Instructors and Continuing Language Instructors (T.S.S.U. Collective Agreement)
C.7 DISC Supervisors, Markers and Tutors (T.S.S.U. Collective Agreement)
C.8 DISC Supervisors, Markers and Tutors (SFU Faculty and Staff)
C.9 Associate Members (A 12.07)
C.10 Adjunct Professors (A 12.08)
C.11 University Research Associates (R 50.01)
C.12 Faculty Associates and Program Coordinators in the Faculty of Education (A12.06)
C.13 Post-Retirement Appointments (A 12.10)

This procedure assumes the prior authorization of funding by the Dean. Furthermore, it is recognized that, while the Department Chair may discuss terms with potential candidates within established parameters, it must be explicit in such discussions that there is no commitment until an offer is conveyed from the Dean. No contract exists until the candidate has signed and returned a copy of the letter or form conveying that offer, or in the case of the appointment of a non-Canadian, until he/she has obtained the necessary documents which will allow him/her to take up the appointment.

A search may be undertaken where the budget has not been confirmed. In such cases, the advertisement shall state that the position is subject to funding, and a search may be discontinued at any stage prior to final approval.

Appointments to positions in the Teaching Support Staff Union (T.S.S.U.) bargaining unit should be concluded according to the terms of the Collective Agreement between the University and T.S.S.U.

1. **Search Procedure**

   In the case of appointments to positions other than TSSU bargaining unit positions, the Department Chair, in consultation with the Appointments Committee of the department shall decide whether or not a search is necessary.

2. **Search Committee**

   Where a search is undertaken, the department shall establish a search committee composed of faculty, faculty and non-faculty staff, or faculty and non-faculty staff and students (depending on departmental practice). Faculty shall constitute the majority of the Committee. Both genders shall be represented on the committee. The Chair of the Department shall be a member of the Committee and may chair the Committee. The Chair is a voting member of the Committee.

3. **Selection Process**

   The search committee or Department Chair shall:

   a. develop a statement of the proposed recruiting plan, forward these to the Dean for review and approval, and carry out the approved recruiting;
   b. make a recommendation of a candidate or a ranked list of candidates.

4. **Recommendation for Appointment**

   The Department Chair shall forward to the Dean a recommendation for appointment which shall include:

   a. a statement of the actual search and selection procedure, (if applicable) including actions taken to seek out members of designated groups;
   b. a copy of the advertisement used, (if applicable);
   c. a list of the candidates considered, (if applicable);
   d. a specific recommendation regarding the candidate or ordered candidates for whom approval is sought (including proposed position and salary step according to the appropriate policy), and for appointments requiring teaching, a statement on teaching ability;
e. when a non-Canadian is recommended for appointment, the recommendation shall be accompanied by a statement detailing the reasons why the Canadian/Permanent Resident applicants were unsuitable;
f. such additional information as the Chair considers relevant or the Dean requests;
g. or category C.3 and C.9, concurrence is required either by the Chair of the faculty member's Department or, in the case of a staff member, his/her supervisor and the appropriate Vice-President.

5. Appointment

The Dean shall review the recommendation for appointment and, if he/she concurs, shall sign the appointment form and conclude the appointment. For further details, see A 10.02, Technical Appointment Procedures.

Interpretation
Section 14.1 of the Faculty Association Framework Agreement deals with matters of interpretation of this policy.

Faculty Search Tracking Report
Please complete a separate form for each faculty search in which a candidate turns down an offer from your department. The form can be found at Faculty Search Tracking Report.