

SIMON FRASER UNIVERSITY
Office of the Vice-President, Academic

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MEMORANDUM

TO: Alison Watt

FROM: Kathy Heinrich
Chair, President's Task Force
on Faculty Renewal and
Retention

RE: Draft Report

DATE: December 9, 1998

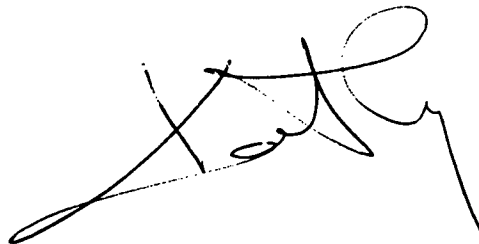
I would like to ask SCAR to include on the agenda of the February 1st Senate meeting a discussion of the Draft Report of the President's Task Force on Faculty Renewal and Retention (enclosed). While I do not know the normal procedure for such a discussion, I would very much like it if not only were the members of the Task Force invited to hear the discussion but if they might in fact participate in it. It may be very useful to our consulting if we could respond to comments by Senate and perhaps even ask questions of Senate.

My expectation is that the discussion would take between thirty minutes and an hour.

Many thanks,

encls.

cc P. Delany
M. Pinto
B. Reich





Simon Fraser University

President's Task Force on Faculty Renewal and Retention
Draft report

Submitted: Tuesday, December 1st, 1998

By: Paul Delany (English)

Katherine Heinrich (Office of the VP Academic & Mathematics and Statistics, Chair)

Mario Pinto (Chemistry)

Blaize Reich (Business Administration)

Final report to be submitted: March 31st, 1999

President's Task Force on Faculty Renewal and Retention
Draft report

Executive Summary

The Task Force was established in July 1998 to explore faculty renewal; how, in times of fiscal constraint and competitive hiring in many areas, we recruit and retain those faculty who are going to be most effective in building and strengthening the university.

In preparing this draft report we have read widely, consulted within and outside the university and studied the university's current processes, policies and planning initiatives. As much as possible we have tried to target our recommendations so that they not only address what we believe the priorities must be for SFU in the next several years in terms of renewal but also that they build on what has been accomplished; both within and outside the institution.

This report is a draft; it describes what we believe is the best strategy for the university. The next stage in the process is to consult broadly seeking both support and constructive criticism to ensure that the final report meets our future needs and enables us to continue to develop as an outstanding university in Canada with clearly distinguished strengths.

While we believe there is a variety of steps we can take to modify and improve some of our existing processes, it is our view that the most important issue for faculty renewal and retention is to be very selective in identifying programs which could distinguish SFU in the future, and then supporting and developing them. This is the first recommendation we make in the section on renewal. The two other recommendations in that section address the need for leadership within our programs and the opportunity to forge closer ties with our external community.

Recommendation 1: That the university identify and support a limited number of programs, both within and between Faculties, determined to be of strategic priority. We suggest the criteria for determining these programs include many of the following:

- demonstrated existing research and teaching strength;
- the ability to attract a national body of excellent students, provide a superior instructional and intellectual environment, and offer students good career prospects;
- significant potential for interdisciplinary partnerships;
- significant potential for external partnerships and external resources;
- strong support from faculty within the program; and
- the potential to contribute to provincial economic development.

Recommendation 2: That within the 3-year planning process, particular attention be given to the need to make senior appointments in some areas of the university.

Recommendation 3: That all departments and Faculties, in their 3-year plans, include initiatives for joint appointments with external agencies and for bringing the expertise of the broader community into the university.

Having decided on a focus for renewal its potential must be maximized by effective and supportive hiring procedures. We present two hiring scenarios and use them as a basis for recommendations on recruitment.

Recommendation 4.1: That the annual budget and planning process ensure new positions (with appropriate rank, salary and start-up funds) are authorized at the department level by September 1st each year and are not subject to cancellation or "freezing".

Recommendation 4.2: That each Dean, the Vice President, Academic and the Board review the appointment process with the goal of identifying and eliminating bottlenecks.

Recommendation 4.3: That within each Faculty a staff member be assigned the responsibilities of "Recruitment Coordinator" to assist new faculty and their families and provide liaison with Human Resources and the office of the Vice President Academic.

Recommendation 4.4: That the university consider initiatives to better assist new faculty with housing. This may include improvements to the current mortgage assistance program and/or the establishment of housing for new faculty in the Burnaby Mountain Development.

Recommendation 4.5: That the university develop a spousal hiring strategy consistent with the priority to be given to programs of strategic opportunity.

The latter part of the report deals specifically with how we work with, support and recognize the achievements of our faculty during their careers. Our recommendations are described within the framework of the university's 3-year planning process and the role faculty will play in achieving individual and institutional goals.

Recommendation 5.1: That shortly after the university budget is known, departments receive from their Dean an annual budget with which to make commitments for the coming year in accord with their departmental plan.

Recommendation 5.2: That the Vice President, Academic ensure appropriate leadership training for Chairs and appropriate recognition of their accomplishments.

Recommendation 5.3: That a timeline be developed that allows Chairs to implement the work-load policy in step with the biennial faculty review process.

Recommendation 5.4: That the merit allocation process be restructured to achieve the following goals:

- an average step which can be awarded within the department;
- close ties between merit assigned and the two-year faculty workload plans;
- merit steps to be held by the Dean to ensure inter-Faculty equity;
- reassignment of faculty between the two biennial review groups; and
- a finer gradation of steps.

Recommendation 5.5: That outstanding leadership and achievement by faculty at the salary ceiling of their rank be recognized through university professorships, merit increments and/or one-time bonuses.

Recommendation 5.6: That the Assistant Professor salary scale be revised to ensure that all Assistant Professors will be eligible for the awarding of merit increments during their pre-tenure years.

Recommendation 5.7: That the office of University Advancement work to increase the number of endowed professorships and Chairs and the President reintroduce a University Professorship program.

Finally there is a need to consider alternative retirement schedules; both for enhancing renewal and meeting the needs of faculty as they approach retirement.

Recommendation 6.1: That a transitional retirement program be created.

President's Task Force on Faculty Renewal and Retention

Draft report

"We will welcome and seize grand challenges, nurture our spirit of adventure, and strengthen our support for bold initiatives. This must and will be agenda item number one."

J. Blaney, President's Agenda, 1998

Introduction

This task force was established in July 1998 to bring forward strategies for "attracting, keeping and developing our faculty resource [to ensure we] remain a top-ranked institution." (See Appendix A.) In interpreting our mandate we chose first to ask "What might Simon Fraser University be?" believing that if we do not identify and support our greatest strengths, there is little reason for faculty to choose us over any other academic institution. With the possibility of hiring 250 new faculty over the next ten years (almost forty percent of our total faculty complement) the university has an extraordinary opportunity to revitalize and differentiate itself.

In carrying out our task we have read widely, consulted with individuals and groups from the university and the broader community, surveyed both chairs and directors of academic units and faculty hired since 1992, and considered university CFL and budget information. (See Appendices B, C and D.)

We see this report as the next stage in a variety of planning initiatives and defining processes which have been taking place over the last several years. In February 1997, the Senate approved in principle the report of the ad hoc Committee on Planning Priorities. As a consequence we now have a university-wide planning process in which all units operate on a 3-year planning cycle. An integral component of this planning is to balance university objectives with the need for flexibility and autonomy at the department and Faculty level. The first stage was completed in early 1998 when, based on departmental and school plans, the Deans and the Vice President Academic completed three-year plans to guide the academic priorities of the university.

In May 1998, the Board approved the Simon Fraser University "Statement of Purpose" which describes nine goals that define our overall purpose. In the fall of 1998, the President took to the Senate and the Board his agenda for the next two years. To quote the final paragraph of that document: *"My overriding ambition is to help provide the leadership that will continue to bring together Simon Fraser University and our communities in a productive and exciting intellectual partnership. We will build on our strengths, and continue to be an institution which is integral and essential to the development of British Columbia and British Columbians."*

We believe the next step in academic planning is to identify those programs within the institution that will be given priority for faculty renewal; programs which will most strongly position us for the next decade. Coupled with this is a need to review our current hiring practices and the ways in which we work with, support and recognize achievement within the institution. Our recommendations address both issues and are made knowing that we can expect no substantial increase in revenues and accepting that new priorities will have to be established and resources reallocated. We are confident that a clear focus, strong leadership from faculty and administrators, and our own history of innovation, will ensure our future success.

The report is divided into three sections: Simon Fraser University in Context; Renewal; and Faculty Recruitment, Retention and Retirement.

Simon Fraser University in Context

In this section we describe the strengths and weaknesses we see within Simon Fraser University (acknowledging that there are a variety of opinions on this), and the opportunities and threats external to the university, focusing on issues with particular relevance to faculty renewal. Our recommendations reflect these assumptions.

Strengths

Simon Fraser University has been credited with "*Finding creative solutions to the challenges presented by an ever-evolving world*" (Macleans 1996). This strength derives from:

- research excellence (basic and applied);
- excellent undergraduates and outstanding teaching using innovative instructional approaches;
- a focus on the community through cooperative education, collaboration with external agencies and entrepreneurial initiatives;
- several nationally and internationally recognized research and teaching programs;
- outstanding recent faculty appointments;
- high quality technology infrastructure;
- flexible study opportunities resulting from a trimester system and distance education;
- a collegial working environment supported by a good relationship between the administration and the Faculty Association;
- a salary structure that allows faculty to move up the scale relatively quickly, providing for an average faculty salary amongst the top in the country at each rank (based on 1995/96 data) and in lifetime earnings, and a variety of excellent benefits;
- Macleans ranking as Canada's number one comprehensive university for the last three consecutive years;
- proximity to Vancouver; and
- the Harbour Centre campus and its location in the downtown core.

Weaknesses

There are real and perceived weaknesses at Simon Fraser University, which hinder faculty renewal:

- uncompetitive salaries in certain disciplines (particularly at the starting level);
- a merit system that does not adequately recognize differences in achievement and contribution to the institution;
- a lack of strategic direction and transparency in decision-making in some areas of the institution;
- insufficient exploitation of our interdisciplinary potential;
- inadequate funding to graduate students which hampers our ability to recruit;
- lack of sufficient resources for research and teaching (e.g. space);
- perceived inequities in individual workloads within Faculties;
- reluctance to restructure or eliminate unsuccessful programs;
- lack of a consistent and uniform support structure for new faculty and their families;
- location on an isolated mountain top which works against the development of strong community at the Burnaby campus; and
- location in a region with very high housing costs.

Opportunities

Despite the challenges, there remain many opportunities including:

- partnerships with other BC post-secondary institutions;
- research opportunities in rapidly growing, local high tech and biotech industries;
- federal initiatives which have increased funding to research councils and established the Canada Foundation for Innovation, and new research funding opportunities from local foundations;
- population growth in our catchment areas (Fraser Valley and downtown core);
- the potential of the Burnaby Mountain Development project to enhance community on the Burnaby campus and add significantly to our endowed funds; and
- community goodwill towards the university.

Threats

Potential threats include:

- the loss of our best students and faculty as they are aggressively recruited by more focused and prosperous universities across Canada and the US;
- an ailing B.C. economy which may lead to reductions in our government grant and difficulty in finding compensatory revenue from other sources;
- government interest in micromanagement of universities and the potential loss of autonomy; and
- tuition deregulation in other provinces.

Renewal

"Most colleges and universities in the country are fundamentally alike. ... Today, they are being forced to make selections ... and make themselves more specialized and unique." Arthur Levine¹

Renewal involves first knowing where we want to go, and second having an institutional structure and will that enables us to get there. This requires strong leadership, clear and open decision-making processes and the making of difficult decisions.

The unifying theme of much we have heard and read is selectivity: the need to be focused on those things we can do especially well and that will best serve the future of the university, our students and our communities. We need to achieve what one of our advisers called "relevant differentiation": that is, to build our strength and reputation by becoming a place of recognized excellence in chosen areas. We are convinced that in the long run a focused program of renewal will benefit the entire university; the alternative is a fading of the strengths we now have and a decline into relative mediocrity among Canadian universities.

Selectivity means directing resources towards "flagship" or "locomotive" programs²; programs that maximize our strategic opportunities and exemplify our best practices. Within Simon Fraser University are many programs of considerable strength and potential and it is from amongst these that our programs of strategic opportunity will be identified.

The procedures for identifying programs of strategic opportunity must be open, clearly defined, and ensure that in addition to reflecting our teaching and research priorities, the programs develop our distinguishing strengths in innovation, community involvement, and interdisciplinary partnerships. All programs must have the opportunity to be considered (perhaps through a call for proposals). The selection process should include external input, both academic and non-academic.

Having identified our strategic programs, we must then direct faculty positions and infrastructure to them. The level of resources and the time period over which they will be assigned will be specified in advance. The role of these programs in the institution's three-year planning will be clearly defined.

Even under the existing fiscal stringency, we are confident that resources can be found for a significant program of focused renewal. Internally, we expect such resources to come from an expansion of the strategic initiatives fund and a reallocation of resources within Faculties. We do not specify to what extent reallocation should be done within Faculties and to what extent it should be done across Faculties; we see only a need for both and, overall, would expect to see a continuing realloca-

¹ Arthur Levine, "Higher Education Becomes a Mature Industry", *About Campus*, August 1997

² By "program" we mean an accumulation of expertise be it department, school, centre or program in the usual sense.

tion of resources of between one and two million dollars annually. Support for faculty renewal should also be a priority for non-recurring budgets and available endowment funds.

Externally, resources may be found through partnerships with industry and government, the establishment of new endowed professorships and chairs, and initiatives of the offices of University Advancement and the Vice President, Research. As much as possible new resources should be targeted towards identified areas of strategic opportunity.

We need both to foster mutually advantageous relationships with the province's emergent knowledge industries (noting that their leaders remain firmly convinced that universities excel in producing graduates capable of developing throughout their working lives) and at the same time ensure the advancement of the humanities and of curiosity-driven scientific research.

Recommendation 1: That the university identify and support a limited number of programs, both within and between Faculties, determined to be of strategic priority. We suggest the criteria for determining these programs include many of the following:

- **demonstrated existing research and teaching strength;**
- **the ability to attract a national body of excellent students, provide a superior instructional and intellectual environment, and offer students good career prospects;**
- **significant potential for interdisciplinary partnerships;**
- **significant potential for external partnerships and external resources;**
- **strong support from faculty within the program; and**
- **the potential to contribute to provincial economic development.**

While there will be increased hiring within programs of strategic opportunity, extensive hiring will still continue in other academic areas. In all areas, the retirement of many senior faculty makes it particularly important to make appointments at the Associate Professor and Professorial ranks if we are to ensure strong leadership within the institution. In fact, it may be that of every six appointments one should be expected to be at those levels.

Recommendation 2: That within the 3-year planning process, particular attention be given to the need to make senior appointments in some areas of the university.

Over the years we have built good relationships with the external community - private, public and not-for-profit agencies - through both research and teaching initiatives. We have a reputation on which much can be built, especially in the area of faculty renewal. We need to actively explore the possibility of joint faculty appointments with industry and other post-secondary institutions. We need to create more opportunities to invite members of external organizations to join the university for limited periods of time; from a 2-hour lecture to a year-long appointment. To adequately recognize such "experts in residence" may require the creation of a new type of appointment.

Recommendation 3: That all departments and Faculties, in their 3-year plans, include initiatives for joint appointments with external agencies and for bringing the expertise of the broader community into the university.

Faculty Recruitment, Retention and Retirement

"Membership in [prestigious] enterprises confers status - and status is a form of capital. ... [But] status can turn stagnant, and no-one wants to be affiliated with an organization that has lost its vital energy. When that happens, talented people can be as easy to lure away as they were to lure in - and the best people are usually the first to go." Robert B. Reich³

Recruitment

The quality of the university is directly linked to the quality of its faculty. Therefore, the most important decisions that are made are the hiring decisions. Since it opened, Simon Fraser University has been characterized as an innovative institution. We now need to apply this innovative spirit to our recruitment practices.

Prior to our recommendations we describe two "ideal" scenarios - one written from the perspective of a new faculty member, and the other from the perspective of a department Chair.

Perspective of the new faculty member

I am a post-doctoral fellow at a research-oriented university and receive a call from a colleague at SFU. Her department has a position vacant and she urges me to apply. I decide to apply and my contact helps me put together a CV and package of materials focused on the specific needs of the SFU position.

Soon after, I learn that I have been shortlisted and my partner and I are invited to Vancouver for the interview. At SFU, we go our separate ways - me with the SFU contact from the department and my partner with the Recruitment Coordinator. The Coordinator discusses SFU policies on moving allowances, mortgage assistance etc., and arranges a tour of areas where we might live. They also discuss schools for the children and we are assured that an SFU daycare space will be available. The coordinator helps my partner identify companies to contact regarding employment and since my partner is also interested in an academic career provides information on employment opportunities at SFU and in other local post-secondary institutions and assists in making appropriate contacts. After the job talk and interviews with faculty and the Dean, my partner and I spend a day with the Coordinator, real estate and employment counselors etc.

My contact keeps in touch and answers questions that occur to us after we leave SFU. I am offered a position. In addition to start up funds and research space, we negotiate the workload for my first two years, ensuring adequate opportunities for me to meet the research and teaching requirements of the position. The formal offer from the President arrives shortly after we complete negotiations. I have been talking with more than one school and receive a second offer. I ask SFU if they can increase several of the compensation and support items in their original offer. A response comes in a couple of days. It is not quite as good as my alternatives, but we feel more comfortable and confident about the SFU environment. I accept the position.

³ Robert B. Reich, "The Company of the Future" *Fast Company*, November 1998

Perspective of the new faculty member (continued)

We arrive at SFU and I am pleased to find my office available and to learn that my equipment has arrived and the lab will be ready within the week. The Coordinator assists me with other departmental and university details that must be addressed. We are personally welcomed by the Dean, the Chair and other faculty members within the first week. To my surprise the President also comes by to meet me.

In the first few months, things are very busy. Grant proposals are put together with help from the departmental research mentor and I am given lots of support in my teaching - course outlines and notes and help from the university teaching centre. I am not expected to serve on departmental committees this year. My partner and I are made welcome by the SFU orientation programs.

The first year has been a whirlwind of activity and challenge, but we have not only survived, we feel a part of the department and the SFU community. My partner and family are settled and I have a plan for the next year's research and teaching activities. This is essential as in the second year I will go through my first biennial review. Before I submit my biennial report, I will meet with the Chair who will help me clarify the expectations of the department and the university.

Perspective of the Chair

Having participated in the 3-Year planning process and regular meetings with the Dean and other Chairs, the Chair knows by late summer how many positions the department is authorized to fill in the next year. The role the new faculty will play within the department, and the expected rank, start-up costs and market differential needed to attract suitable candidates have been discussed and a range of possibilities determined. Given that one of the positions is a leadership role within a program of strategic opportunity, that candidate will be hired as an Associate Professor and it is expected that the appointment will be made with tenure.

The search process is successful. The shortlisting is done quickly and approved by the Dean. A member of the search committee is appointed to contact and mentor each of the shortlisted candidates. This early mentoring process ensures that the personal and professional concerns of each candidate are well understood before their visit.

The Chair attends all job talks, meets with each candidate, takes them to their meeting with the Dean and provides them with a package of information about the university, highlighting employee benefits, and the many research and teaching opportunities at SFU. Since all shortlisted candidates have other suitors, each person is treated as a potential new hire and made feel as welcome as possible. SFU is already known as an innovative, collegial school, and those perceptions are strengthened throughout the selection process.

Negotiations with the selected candidate are assisted by the Dean, the office of the Vice President, Academic, and the Board who work together in an efficient and coordinated effort. This is particularly important when there is a need to consider a "spousal" (partner) appointment. Once negotiations are complete the Chair puts all that has been agreed upon (teaching, research funds, office and lab space etc.) in writing and sends it to the candidate.

During the next year the Chair ensures the faculty member is aware of all policies and procedures related to the biennial review, renewal, promotion and tenure and is clear about both departmental and university expectations. The new faculty member is encouraged to attend orientation sessions. In the coming years the faculty member is kept informed of his/her progress through annual meetings with the Chair and is provided with appropriate opportunities for development. Although new faculty members are enthusiastic about involvement in departmental administration and the development of new courses and programs, the Chair ensures that they maintain a healthy balance so they have adequate time to build a strong research program and excel as teachers.

In the preceding paragraphs, we have described a recruitment process that is proactive, efficient, and caring. The following recommendations address the structural changes we believe necessary to facilitate the process described above.

Recommendation 4.1: That the annual budget and planning process ensure new positions (with appropriate rank, salary and start-up funds) are authorized at the department level by September 1st each year and are not subject to cancellation or "freezing".

Recommendation 4.2: That each Dean, the Vice President, Academic and the Board review the appointment process with the goal of identifying and eliminating bottlenecks.

Recommendation 4.3: That within each Faculty a staff member be assigned the responsibilities of "Recruitment Coordinator" to assist new faculty and their families and provide liaison with Human Resources and the office of the Vice President Academic.

Recommendation 4.4: That the university consider initiatives to better assist new faculty with housing. This may include improvements to the current mortgage assistance program and/or the establishment of housing for new faculty in the Burnaby Mountain Development.

Recommendation 4.5: That the university develop a spousal hiring strategy consistent with the priority to be given to programs of strategic opportunity.

Retention

Making new faculty welcome and helping them to be successful researchers and teachers is the first step in creating a vibrant and productive university. The next is to develop and retain these individuals so they can provide leadership in all aspects of the university. In our analysis of the issue of retention, we have identified two levels at which we recommend change - at the level of the department and the individual faculty member.

The department is the front-line administrative unit at the university. Departments, through their 3-year planning process, need to establish a collective vision and strategy and, following its acceptance by the Dean, need to be able to put it into practice. To accomplish this Chairs must have strong leadership abilities and effective management and motivational skills.

Not only must the Chairs possess these abilities but they must be given the authority necessary to carry out their duties. In accord with the planning process established in 1997, Chairs should receive from their Dean an annual budget allocation over which they have full control. They also need incentives to be fiscally and operationally efficient, such as a guarantee that a significant portion of the moneys released by initiatives they undertake will remain in the department. To be able to support early retirements and requests for modified contracts, departments must know that

resources will be available to assist them in meeting their immediate teaching needs.

Recommendation 5.1: That shortly after the university budget is known, departments receive from their Dean an annual budget with which to make commitments for the coming year in accord with their departmental plan.

Chairs are both leaders of their departments, and institutional leaders. An effective Chair must have a broad knowledge of policies and decision-making processes at both the Faculty and university level. Therefore, Chairs should receive appropriate training and support to carry out their responsibilities. They should be rewarded based on departmental performance measured through the realization of their plans and the development of faculty.

Recommendation 5.2: That the Vice President, Academic ensure appropriate leadership training for Chairs and appropriate recognition of their accomplishments.

Having established a plan and negotiated annual resources, the Chair must now work with faculty and staff to implement the plan. Fundamental to this is the need for each faculty member to contribute significantly to the attainment of both individual and collective goals. This will be accomplished through the development of individual 2-year work plans negotiated between the faculty member and the Chair in accord with the faculty workload policy. Such plans should facilitate the development of future leaders within the university and of new initiatives. During biennial reviews, these work plans should be considered by the DTC in recommending merit and other rewards.

Recommendation 5.3: That a timeline be developed that allows Chairs to implement the workload policy in step with the biennial faculty review process.

One way to keep the best people at SFU is to ensure compensation reflects accomplishment and contribution to the attainment of department and university goals. We have identified three practices that make it difficult to reward our best people: the current merit system, the salary cap and the assistant professor salary scale. The overall themes in our recommendations are to apply greater selectivity in our reward systems and to make rewards available to all faculty. While the recommendations focus on reconsidering existing policies and practices, it may indeed be the case that a better approach would be to redesign the entire salary structure. In fact, market pressures that require us to pay higher salaries to new faculty in an increasing number of disciplines may make this imperative.

Recommendation 5.4: That the merit allocation process be restructured to achieve the following goals:

- an average step which can be awarded within the department;
- close ties between merit assigned and the two-year faculty workload plans;

- merit steps to be held by the Dean to ensure inter-Faculty equity;
- reassignment of faculty between the two biennial review groups; and
- a finer gradation of steps.

There is particular concern for those faculty at the top of the ceiling of their rank (currently 42% of all faculty) who now receive no merit steps. Such faculty may increasingly look outside the university for additional challenge and compensation thus creating the potential for decreased institutional commitment. We must recognize and reward the valuable leadership roles senior faculty can play in the institution. We suggest that at the university level, university professorships, merit steps and one-time bonuses be made available annually for those at the ceiling of their rank; expecting about 10% of such faculty to be recognized annually.

Recommendation 5.5: That outstanding leadership and achievement by faculty at the salary ceiling of their rank be recognized through university professorships, merit increments and/or one-time bonuses.

There is also concern related to the current salary scale for assistant professors. Being appointed at the assistant professor step 4 level and then awarded significant merit increases during the first few years puts many assistant professors at the top of their scale prior to normal promotion. The result is that some of our best-performing faculty are not being recognized adequately and may be being discouraged from making a full commitment to the university.

Recommendation 5.6: That the Assistant Professor salary scale be revised to ensure that all Assistant Professors will be eligible for the awarding of merit increments during their pre-tenure years.

There is also a need to allocate time and resources to some of our most outstanding faculty to enable them to carry out particular projects of value to their departments and the university. This will be accomplished through the creation of additional endowed chairs and the reintroduction of a university professorship program; having first reviewed the existing terms of that program to ensure a breadth of rank and type of contribution can be recognized. Particular consideration should be given to the creation of chairs in programs of strategic opportunity.

Recommendation 5.7: That the office of University Advancement work to increase the number of endowed professorships and Chairs and the President reintroduce a University Professorship program.

Retirement

Over the next decade 211 mandatory retirements will occur. Forty-one positions are currently vacant and in the coming years there may be a number of early retirements and faculty seeking modified contracts. As a consequence, many departments will see substantial fluctuations in the

size of their faculty complement and in the leadership and experience available.

It is appropriate to consider the development of mechanisms to retain some of our retirees through a transitional retirement program. For example, selected faculty might choose to go on modified contract in their last two years with a similar arrangement via a post-retirement contract over the next two years. This would allow faculty renewal to begin two years earlier than planned - recognizing that there would be no overall cost saving.

Recommendation 6.1: That a transitional retirement program be created.

JUNE 24, 1998

President's Task Force on Faculty Renewal and Retention**Terms of Reference**

The recruitment and retention of the best faculty is a challenge of the highest priority to Simon Fraser University. Strategies for attracting, keeping and developing our faculty resource must be implemented if S.F.U. is to remain a top-ranked institution. This need is highlighted by the fact that, between now and the year 2010, almost 300 faculty members are scheduled to retire. These retirements are heavily concentrated in the Faculties of Arts and Science and account for more than 40 per cent of the total faculty complement. This retirement "bulge" is not unique to Simon Fraser University and places S.F.U. in competition with virtually all other Canadian universities to recruit, retain and recognize the best faculty members over the next 10-12 years. It represents a significant task for the institution and a major opportunity to revitalize and diversify the faculty.

The Task Force is asked to review existing practice and recommend practical strategies which will attract new faculty and encourage existing faculty to stay at S.F.U. It should consider initiatives that have been successful elsewhere and consult widely within the University. To encourage innovative ideas, the Task Force should assume that funding will continue at the current level, with the exception of private or endowment funds.

The Task Force will need to recognize and respect the Deans' and Vice President Academic's Three Year Plans. Further, the terms and conditions of employment of faculty, including the salary structure, are largely negotiated with the Faculty Association and cannot be changed unilaterally.

Interim recommendations should be submitted to the President by October 31, 1998 and a final report completed by December 15, 1998.

TASK FORCE MEMBERSHIP

Paul Delany, English

Katherine Heinrich (Chair), Mathematics and Statistics and Office of the VP Academic

Mario Pinto, Chemistry

Blaize Reich, Business Administration

LIST OF CONSULTATION MEETINGS

Chairs and Directors

Open Meeting - Burnaby

Open Meeting - Harbour Centre

SFUFA Executive

School of Computing Science

Vice Presidents and Deans

Frank Anfield (retired)

Jack Blaney (President)

William Chafe (Dean of the Faculty of Arts and Sciences and
Dean of Trinity College, Duke University)

David Gagan (Vice President, Academic)

Paul Lee (Electronic Arts)

Julia Levy (Quadra Logic Technology)

Youssef Nasr (Hong Kong Bank of Canada)

Judith Osborne (Associate Vice President, Academic)

Sue Roppel (Assistant to the VP Academic)

Roger Ward (Vice President, Finance and Administration)

BACKGROUND SFU INFORMATION

Title	Source
Three Year Plan - Applied Science	Dean of Applied Science
Three Year Plan - Arts	Dean of Arts
Three Year Plan - Business Admin.	Dean of Business Admin.
Three Year Plan - Education	Dean of Education
Three Year Plan - Science	Dean of Science
Three Year Plan - VP Academic	Office of the VPA
SFU 1998/99 Operating Budget	Office of the VP Finance and Administration
SFU Research Grant Data	Office of Research Services
Employment Equity Data	Employment Equity Office
SFU Fact Book	Office of Analytical Studies
Faculty Renewal and Retirement Data	Office of AVPA
SFU Budget Information	Office of the VP Finance and Administration
Average Faculty Salaries at Selected Universities Across Canada	Office of AVPA
SFU Budget Principles and Process	Office of the President
President's Agenda	Office of the President
SFU Statement of Purpose	Office of the VPA
Report of the ad hoc Committee on Planning Priorities	Office of the VPA
SFU Academic Policies	Office of the VPA

FACULTY RENEWAL SURVEY OF NEW FACULTY

Executive Summary

Prepared by Joanne Heslop, Office of Analytical Studies

Following is a brief summary of the results of the Faculty Renewal Survey of New Faculty, conducted in the Fall of 1998. Please contact Kathy Heinrich, Special Assistant, Academic Planning if you have any further questions about this survey.

- a) **Response Rate.** A total of 64 surveys were returned out of 124 distributed, thus the response rate is 52%. The highest response rate was among faculty hired as Associate Professors (77%), faculty who currently have tenure (73%), faculty hired in 1997 (62%), faculty in Business Administration (62%), faculty younger than thirty-five (63%) and females (57%).
- b) **Representativeness.** The survey respondents are reasonably representative of the target population (124 new faculty appointed from 1992 to 1997). Faculty who currently have tenure are over-represented, while males are under-represented. Other factors about the sample are representative (rank of appointment, current rank, tenure status upon appointment, year of appointment, faculty of appointment and age).
- c) **How did faculty find out about the vacancy at SFU?** The most popular methods were *word of mouth, invitation to apply, professional publication/newsletter and CAUT Bulletin*. The least likely methods were *newspaper/magazine, conference and internet job site*.

By comparison, Chairs mainly use the *CAUT Bulletin and professional publication/ newsletter*. While *inviting faculty to apply* is not commonly used by Chairs to seek applicants, it is one of the primary methods used by new faculty to find the vacancy at SFU.

- d) **Reasons for accepting the position.** The top four "very important" factors considered by new faculty when choosing to accept the SFU appointment are: *research expectations, quality of life, teaching expectations, and research/start-up funding*. The least important criteria are: *consulting opportunities and tuition reimbursement*.

In terms of satisfaction with the various aspects of their appointment, new faculty are most satisfied with the following: *moving allowance, medical/dental, pension plan, tenure status, Maclean's ranking and rank of appointment*. They are least satisfied with: *cost of housing, partner's career opportunities at SFU, cost of living, library resources and mortgage assistance*.

A series of scatter plots shows the relative importance and satisfaction with the reasons for accepting the position at SFU. Several items were given a higher mean importance level than

mean satisfaction rating, including the following:

Remuneration and Recognition - *salary*.

Working Conditions - *research expectations, teaching expectations, office space, availability of equipment, quality of lab facilities, library resources*.

Benefits Package - *mortgage assistance*.

Start-up Support - *research/start-up funding, reduced teaching in first year*.

Lower Mainland Characteristics and Family - *quality of life, partner's career opportunities elsewhere in the lower mainland, partner's career opportunities at SFU, cost of living, cost of housing*.

Note: The scatter plots were created by assigning a numeric value to each of the importance and satisfaction ratings for each survey respondent. Over each appointment factor, a mean importance rating and mean satisfaction rating were calculated across all respondents and these pairs of values were plotted in the scatter plots.

- e) **What do Chairs emphasize when recruiting new faculty?** The top four items emphasized by Chairs when recruiting new faculty are: *salary, cost of housing, research expectations and teaching expectations*.

Are these the same items that new faculty think are important? As shown in a second scatter plot of the reasons for accepting the position (new faculty importance vs. Chairs importance), several items do not rank high on the importance scale for new faculty, but are greatly emphasized by Chairs when recruiting. These items are shown below the main diagonal on the scatter plot, such as *salary, Maclean's ranking* and others. Several other items (shown above the main diagonal) are considered important to new faculty, but are not emphasized enough by Chairs: *proximity to UBC, consulting opportunities, office space, and library resources*.

- f) **Transition to SFU: Contact Person and Problem Resolution.** 75% of new faculty had a contact person they felt comfortable to contact with questions before arriving at SFU and 87% had questions or concerns relating to their appointment before they arrived. Of those with questions, only 32% were completely resolved, 61% were somewhat resolved and 7% were not at all resolved.
- g) **Orientation.** The top 3 types of orientation sessions attended by new faculty are also the same ones most encouraged by Chairs to attend and are considered by new faculty to be most useful. These orientations include the following: *SFU new faculty orientation session (87%), SFUFA information session (71%), and Centre for University Teaching seminar (65%)*.

New faculty are least likely to receive a department orientation package or attend a department orientation session. Responses from Chairs confirms that departmental orientations are not often provided to new faculty.

Other types of orientation sessions attended and considered useful include: *Dean of Science*

welcome party, grant application seminar and President's reception.

- h) **How well informed are new faculty?** Before their appointment at SFU begins, new faculty felt most informed (very or somewhat informed) about the following: *teaching assignment, research expectations, and faculty-members in the department.* They felt the least informed about *how to prepare for the annual review process.*

For some items, there are large differences in the extent to which Chairs feel they inform their new faculty and the extent to which faculty feel informed: *contract renewal, tenure and promotion, who to contact regarding benefits, department staff and their responsibilities, and availability of computing facilities.*

Fortunately, between the time of their appointment to the time the new faculty were surveyed, the extent to which they feel informed about various aspects of their appointment improves beyond 90% (very informed + somewhat informed) on all items.

- i) **First Impressions.** The first impression of SFU was very positive for 39% of new faculty, somewhat positive for 41%, neutral for 11% and somewhat negative for 8%. The reasons for these ratings is attached in this analysis, with a breakdown by rating, from very positive to very negative.
- j) **First Impressions and First Year Experience.** The first year of employment at SFU was very positive for 37%, somewhat positive for 35%, neutral for 8%, somewhat negative for 13% and very negative for 8%. The reasons for these ratings is attached in this analysis, with a breakdown by rating, from very positive to very negative.
- k) **Commitments and Special Conditions of Employment.** Many respondents received specific commitments from their Chair as a condition of their employment at SFU. Descriptions of these commitments and the faculty member's satisfaction with their outcome are included in the attached document.
- l) **SFU's strengths and weaknesses.**
Positive and negative experiences at SFU.
Most pressing issues in the areas of faculty recruitment and retention.
Other concerns.
Open-ended responses are included in the attached analysis, grouped by faculty of appointment.

FACULTY RENEWAL SURVEY OF CHAIRS

Executive Summary

Prepared by Joanne Heslop, Office of Analytical Studies

Following is a brief summary of the results of the Faculty Renewal Survey of Chairs, conducted in the Fall of 1998. Please contact Kathy Heinrich, Special Assistant, Academic Planning if you have any further questions about this survey.

- a) **Response Rate.** A total of 24 surveys were returned out of 31 distributed, thus the response rate is 77%. The response rate by faculty is: Applied Sciences (100%), Arts (65%), Business Administration (50%*), Education (100%) and Science (100%). *Note that two surveys were sent to Business and one was returned.
- b) **How many searches were conducted?** Of those who responded to the survey, a total of 60 searches were conducted in the past three years (May 1995 to April 1998). The number of searches by faculty were: Applied Sciences (13), Arts (16), Business (none), Education (11) and Science (20).

How many applicants? The number of applicants per search varies by Faculty and department, but ranges from a low of one in Women's Studies to a high of 200 in Philosophy. On average over all 60 searches, there were 47 applicants per search.

How many offers were refused? The total number of offers refused was 17 (or 28% of the 60 completed searches). The majority of refused offers occurred in the Faculty of Science where 12 offers were turned down.

- c) **What recruiting/advertising methods do Chairs use when seeking to fill a tenured or tenure-track faculty position?** The most popular methods used are CAUT Bulletin and professional publication/ newsletter. While *inviting faculty to apply* is not commonly used by Chairs to seek applicants, it is one of the primary methods used by new faculty to find the vacancy at SFU.
- d) **Employment Equity Policy.** How policy GP19 affects the search process and how the university could further assist Chairs in meeting the goals of the policy is summarized by faculty in the attached document.
- e) **What do Chairs emphasize when recruiting new faculty?** The top four items emphasized by Chairs when recruiting new faculty are: *salary, cost of housing, research expectations* and *teaching expectations*.

Are these the same items that new faculty think are important? As shown in the scatter plot, several items do not rank high on the importance scale for new faculty, but are greatly emphasized by Chairs when recruiting. These items are shown below the main diagonal on the scatter plot, such as *salary*, *Maclean's ranking* and others. Several other items (shown above the main diagonal) are considered important to new faculty, but are not emphasized enough by Chairs: *proximity to UBC*, *consulting opportunities*, *office space*, and *library resources*.

- f) **Offers turned down.** A total of 17 offers were refused. The reasons for turning down the offer and what Chairs feel would have been necessary to accept the offer is summarized by Faculty in the attached document.
- g) **Do Chairs have sufficient input when preparing to make an offer?** The extent to which Chairs feel they have sufficient input (to a great extent + some extent) when making an offer is: *salary* (54%), *start-up equipment* (50%), *rank* (46%) and *tenure status* (29%).
- h) **When negotiating with a candidate, do Chairs feel they have the ability to address specific items?** The extent to which Chairs feel they can sufficiently address (to a great extent + some extent) these items is: *reduced teaching responsibilities in first year* (100%), *quantity, level and subject of courses to be taught* (100%), *office space* (67%), *admitting candidate's existing graduate students to SFU* (58%), and *lab space* (42%).
- i) **Recruitment Process.** Each of the nine stages of the recruitment process that we asked about range in duration from 1 week to 16 weeks. The fastest stages, lasting 0 to 4 weeks, include: *selecting the candidate*, *obtaining department approval*, *obtaining the Dean's approval* and *candidate's acceptance*. The longest stages are *advertising* (2 to 20 weeks), *receiving applications* (4 to 20 weeks) and *obtaining board approval* (2 to 16 weeks).

When asked how satisfied they are with the duration of each stage of the recruitment process, *obtaining board approval* received the lowest satisfaction rating (12% were very satisfied, 6% were somewhat satisfied, 35% were not very satisfied and 35% were not at all satisfied).

For the time required to complete the entire recruitment process, 5% were very satisfied, 62% were somewhat satisfied, 19% were not very satisfied and 10% were not at all satisfied. Suggestions on how to make the recruitment process more efficient are attached.

- j) **Faculty Mentor.** 17% of Chairs appoint a faculty mentor to each new faculty member before they arrive; 16% appoint a mentor after the new faculty member arrives. Most Chairs do not appoint a faculty mentor at all.
- k) **Orientation.** The top 3 orientation sessions that Chairs encourage their new faculty to attend are: *SFU new faculty orientation session* (87%), *SFUFA information session* (71%) and *Centre for*

University Teaching seminar (65%). These are the same top 3 orientation sessions that new faculty attend.

When do Chairs encourage new faculty to attend orientations? A department orientation package, if distributed, is sent before the appointment starts. All other orientations mainly occur within the first semester of the appointment and some within the first year.

- l) **Other non-monetary support.** Any other non-monetary support that Chairs give to their new faculty members is documented in the attached report, grouped by faculty and reported by 'before arrival' and 'upon arrival'.
- m) **To what extent do Chairs inform their new faculty before their appointment starts?** On most items, more than 75% of Chairs inform their new faculty (to a great extent + some extent). However, a smaller proportion of Chairs emphasize the importance of *how to prepare for the annual review process (29%)* and *committee assignments (53%)*. By comparison, faculty also feel least informed about *how to prepare for the annual review process before their appointment starts*.
- n) **Continuing Faculty.** The focus of a faculty member's career may change over time. Ways in which Chairs feel they have the ability to support or redirect such career changes are reported in the attached document, grouped by Faculty.

When the primary focus of an individual's activities is *service to the external community* or *SFU service*, this is viewed least favorably by departments. Primary activities viewed most favorably are *research and graduate supervision and teaching* and *the development of teaching materials*.

- o) **Recruitment Initiatives.** The top three most important recruitment initiatives ranked by Chairs are: *competitive economic appointment package, research start-up funds* and *reduced teaching in the first year*.
- p) **Retention Initiatives.** The top two retention initiatives are: *activities that welcome and support new faculty* and *introduction to local organizations for research collaborations/funding*.
- q) **Recruitment and Retention Initiatives.** The top three most important recruitment/ retention initiatives are: *market differential, availability of reasonably-priced housing* and *research centres of excellence*.
- r) **Other concerns.** Other suggestions or concerns are attached and grouped by Faculty.