



# UNIVERSITY OF TORONTO

University of Toronto  
Governing Council

## **Policy on Appointment of Academic Administrators**

October 30, 2003

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# POLICY ON APPOINTMENT OF ACADEMIC ADMINISTRATORS

## Preamble

The following policy replaces the Policy on Academic Administrators, as revised by the Board of Governors, October 28, 1971.

This policy shall be applied to all academic administrative staff unless an individual specifically requests consideration under the policy in force at the time of his/her appointment.

## Principles

Academic administrative positions should be held by teaching staff who are willing to assume, for a time, special responsibility for the harmonious and effective functioning of their respective divisions or departments.

Individuals who hold these term appointments shall be superior teachers and scholars and shall be accountable to both their academic units and the University's administration.

Searches for, and appointment of, academic administrators shall be made in conformity with the University's employment equity objectives.

Members of advisory committees shall be chosen for their capacity to contribute to the decision to be made and shall include both men and women, and, whenever possible and reasonable, members of visible minorities, aboriginal peoples of Canada, and persons with a disability.

While dates for the commencement of searches cannot be specified, all advisory committees should be formed expeditiously and begin work in a timely fashion in order to ensure that the transition between academic administrators occurs as smoothly as possible.

## Definitions

The definitions for "teaching staff" and "administrative staff" used in the policy are based on those found in the *University of Toronto Act, 1971*, as amended.

"Teaching staff" are full, associate and assistant professors, senior lecturers, lecturers, senior athletics instructors, athletics instructors, senior tutors and tutors.

"Administrative staff" are defined as those who are not members of the teaching staff and, therefore, include the remaining employees of the University.

"Departmentalized faculties" are the Faculties of Arts and Science, Applied Science and Engineering, Medicine, Erindale College (University of Toronto at Mississauga), the School of Graduate Studies, The Ontario Institute for Studies in Education of the University of Toronto and Scarborough College (University of Toronto at Scarborough).

## Structure of the Policy

This policy has been structured so that each section concerns a specific academic administrative office and is a complete, self-contained unit. The sections consist of the following: a discussion of the office; qualifications, duties and responsibilities; term of office; appointment; and removal from office.

## I. The Office of Chair

- (1) The Chair of a department in a departmentalized faculty is the chief executive officer of the department and reports directly to the Dean. While the Chair may elect to delegate authority to other academic administrators in the department, he/she must retain responsibility for the overall direction of the department and in particular for authority over the budget and recommendations for appointments and, where appropriate, promotions. The Chair shall consult with the members of the department on matters of policy and practice as outlined in (5), but is ultimately responsible for all administrative decisions that are within his/her jurisdiction and authority.

### A. Qualifications, Duties and Responsibilities

- (2) Chairs should be appointed for their intellectual and administrative abilities, devotion to education and research, judgement and qualities of leadership. They have responsibility for the management of the department and for the implementation of University policy in all aspects of its operation. They should have the ability to create an environment conducive to the growth of intellectual life within the department and to maintain the confidence and co-operation of the teaching staff, administrative staff and students. They should be able to manage effectively and efficiently the external relations of their department, both within the University and in the wider community, so as to facilitate support for its educational and research activities.
- (3) The Chair both represents the particular department's policies and points of view, and as an officer of the Faculty, makes independent judgements on Faculty matters. The Chair shall put the interest of the department ahead of his/her own research interest or specialty.
- (4) The Chair shall endeavour to promote the teaching, research and scholarship of the teaching staff of the department and to ensure an equitable distribution of work. He/she shall also endeavour to promote the career development of administrative staff.
- (5) In the development and implementation of departmental policy, the Chair shall seek the advice of the department expressed through either a representative committee or meetings of the department. In so doing, the Chair will be guided by the constitution of the department. The division of duties between these two bodies may be expected to vary but in general such matters as program changes should be discussed and approved by the department, while confidential matters should be discussed with a representative committee of teaching staff. In large departments, it may be desirable to appoint a small executive committee to assist the Chair in the day-to-day running of the department. It might also be desirable to make use of other standing committees. There should be regularly scheduled meetings of a representative committee and of the department.
- (6) In order to conduct the business of the department and to maintain reasonable contact with his/her area of research or scholarly interest, the Chair may
  - (a) recommend to the Dean or Principal the appointment of an Associate Chair and/or other academic administrative officers with specific responsibilities to the Chair in certain areas, and
  - (b) appoint administrative personnel to supervise and provide advice on, for example, finances, physical facilities and personnel, and
  - (c) request, where justified, research assistance from the Dean or Principal to maintain the continuity of research work.

### B. Term of Office

- (7) The term of office of the Chair is up to a maximum of five years, with the possibility of one renewal up to a maximum of five years. No further renewal after two terms shall be considered except where very unusual circumstances exist which, in the judgement of the President, make such renewal desirable.
- (8) Renewals of the term of office of the Chair, including renewal under unusual circumstances as provided in (7), shall be on the recommendation of a committee constituted as in (12) or (17).
- (9) In the case of absence of the Chair the following procedures will apply:

- (a) during the temporary absence of the Chair for up to two months, the Chair shall recommend to the Dean or Principal the appointment of either an Associate Chair or a senior member of the teaching staff to serve as acting Chair. The Dean or Principal shall inform the Vice-President and Provost of the appointment.
  - (b) in the event of the Chair's absence for a period of more than two months or if the office of the Chair becomes unexpectedly vacant, the Dean or Principal, after consultation with members of the department and the Dean of the School of Graduate Studies, shall recommend the appointment of an Acting Chair for a period of no more than one year and shall forward the recommendation to the President who shall thereafter transmit his/her own recommendation to the appropriate body of the Governing Council.
- (10) Administrative leave is awarded to a professor after a minimum term of service as an administrator to permit him/her to pursue his/her academic interests for a period free of all administrative responsibilities. Leave entitlement shall be based on the following:
- (a) a Chair shall be entitled to a full year's administrative leave at full salary after five years of administrative service. Time does not accrue towards a research leave while serving a full term and taking the related administrative leave. However, years credited towards a research leave at the time of an administrative appointment shall be preserved and counted towards the next research leave.
  - (b) if a Chair serves a term of three years, he or she will be entitled to six months of administrative leave.
  - (c) where a Chair serves fewer than five years, and does not elect to take the administrative leave entitlement as in (b), each of the years served shall be credited towards a regular research leave entitlement with the exception that, in calculating the research leave salary, the Chair shall receive 100 percent of salary pro-rated for the years during which he/she held the office.

### C. Appointment of Chairs

- (11) The searches for and appointment of Chairs shall be made in conformity with the University's employment equity objectives.
- (12) In the appointment of a Chair, following a call for nominations, the President, in consultation with the Dean of the Faculty or Principal of the College in which this department or division lies, shall appoint an advisory committee. With the exception noted for a Graduate Chair in (17), the committee normally shall be composed as follows:
- the Dean or the Principal or representative who shall chair the committee;
  - three to five members of the teaching staff of the department;
  - the Dean of the School of Graduate Studies or representative;
  - one or two members of cognate departments;
  - one or two students;
  - a Vice-Dean or Associate Dean of the Faculty or College, where appropriate; and
  - a librarian, where appropriate.
  - in addition, the committee may include an alumnus/a, a member of the administrative staff and, in the case of professional faculties or schools, a senior member of the appropriate professional community.
- (13) The membership of all committees shall be made public.
- (14) All members of the teaching and administrative staff of the department shall be informed of steps being taken to appoint a new Chair and of the membership of the advisory committee. They shall be invited to communicate opinions concerning candidates within or outside the department and to submit nominations. The committee shall consider the names suggested and also any additional names arising from any other source such as consultation with alumni and departments in other universities.

- (15) (a) In the event of the resignation of a member of the advisory committee, the Dean, after consultation with the advisory committee, shall have the authority to replace the member.
- (b) Should a member of the advisory committee decide to be considered for nomination, that member shall resign.
- (16) The recommendation of the committee and the vote shall be transmitted by the Dean of the Faculty or Principal of the College, along with his/her own recommendation and, where the new Chair is responsible for the graduate program, the recommendation of the Dean of the School of Graduate Studies, to all members of the committee and to the President, who shall thereafter transmit his/her own recommendation to the appropriate body of the Governing Council.
- (17) It is expected that the Chair of a department may be the Graduate Chair. However, the Dean of a non-departmentalized Faculty may or may not choose to be the Chair of the Graduate Department. In the appointment of a Graduate Chair where the Dean of a non-departmentalized Faculty, or the Chair of a department in a departmentalized Faculty, is not to be the Graduate Chair, or where a graduate department covers more than one campus, an advisory committee shall be appointed. It shall be composed as follows:
- the Dean of the School of Graduate Studies or representative who shall chair the committee;
  - the Dean(s) of the Faculty or Faculties and Divisions (in the case of Graduate Departments covering more than one campus, then the relevant Dean from each such campus);
  - three to five members of the graduate teaching staff of the department (in the case of the Graduate Department covering more than one campus, then there must be at least one member of the graduate teaching staff from each such campus);
  - two or three members of cognate departments (in the case of Graduate Departments covering more than one campus, then there must be at least one member of a cognate department from each such campus);
  - two or three graduate students (in the case of Graduate Departments covering more than one campus, then there must be at least one graduate student associated with each such campus); and
  - in addition, the committee may include an alumnus/a, a member of the administrative staff and, in the case of professional faculties or schools, a senior member of the appropriate professional community.

The recommendation of the committee and the vote shall be transmitted by the Dean of the School of Graduate Studies, along with his/her own recommendation, to all members of the Committee and to the President who shall thereafter transmit his/her own recommendation to the appropriate body of the Governing Council.

#### D. Removal of the Office Holder before Expiration of Term

- (18) A Chair may be removed from administrative office only for misconduct, incompetence, neglect of duty or other significant failure to exercise the duties and responsibilities of the position as set out in Section I.A.
- (19) Where there is perceived cause for removal resulting from a conflict between the Chair and the department, the Dean will, where appropriate, consult with the Dean of the School of Graduate Studies and with the support of the Vice-President and Provost, seek to mediate or correct the situation as early as possible.
- (20) Where there is perceived cause for removal resulting from a conflict between the Dean and the Chair, the Vice-President and Provost will, where appropriate and with the support of the President, seek to mediate or correct the situation as early as possible.
- (21) If the process of mediation fails, as judged by any of the parties involved, and the Vice-President and Provost believes that formal proceedings are necessary, a formal inquiry shall be set up. At the same time, the Vice-President and Provost may choose to suspend the Chair, without prejudice, financial or otherwise, for the period of the inquiry. In the case of suspension, the Vice-President and Provost shall recommend appointment of an Acting Chair in order to facilitate the operation of the department during this period.

- (22) In setting up a formal inquiry, the Vice-President and Provost shall appoint a committee composed of three senior members of the teaching staff from outside the department concerned, at least one of whom shall be from outside the Faculty, to consider the facts and recommend a course of action. The Chair shall be informed of the names of the members of the committee and given an opportunity to challenge, in writing, the composition of the committee for bias, or conflict of interest.
- (23) The committee shall determine, in accordance with the *Statutory Powers Procedure Act, 1971*, whether it should recommend that the Chair be removed from administrative office.
- (24) On completion of its proceedings, the committee shall report to the Vice-President and Provost with a recommendation, supported by reasons, that the Chair either continue in office or be removed for cause. The report of the committee, with an invitation to respond, shall be made available to the Chair, the Dean, and the Dean of the School of Graduate Studies and at the discretion of the Vice-President and Provost, to other concerned parties within the department. The report of the committee with any such responses and the recommendation of the Vice-President and Provost shall be transmitted to the President for a final decision. In the event of a decision for removal, the President shall report the decision and the reasons therefore to the next scheduled meeting of the Academic Board.

## II. The Office of Director of an Academic Centre or Institute

This section refers to those Centres or Institutes which conduct programs in which students can enrol and all Centres and Institutes in the School of Graduate Studies.

- (25) The Director of a Centre or Institute is the chief executive officer of the Centre or Institute and reports directly to the Dean. While the Director may elect to delegate authority to other academic administrators in the Centre or Institute, he/she must retain responsibility for the overall direction of the Centre or Institute and in particular for authority over the budget and recommendations for appointments and, where applicable, promotions. The Director shall consult with the members of the Centre or Institute on matters of policy and practice as outlined in (29), but is ultimately responsible for all administrative decisions that are within his/her jurisdiction and authority.

### A. Qualifications, Duties and Responsibilities

- (26) Directors of Centres and Institutes should be appointed for their intellectual and administrative abilities, devotion to education and research, judgement and qualities of leadership. They have responsibility for the management of the Centre or Institute and for the implementation of University policy in all aspects of its operation. They should have the ability to create an environment conducive to the growth of intellectual life within the Centre or Institute and to maintain the confidence and cooperation of their teaching staff, administrative staff and students. They should be able to manage effectively and efficiently the external relations of their Centre or Institute, both within the University and in the wider community, so as to facilitate support for its educational and research activities.
- (27) The Director both represents the particular Centre's or Institute's policies and points of view, and as an officer of the Faculty or School, makes independent judgements on Faculty or School matters. The Director shall put the interest of the Centre or Institute ahead of his/her own research interest or specialty.
- (28) The Director shall endeavour to promote the teaching, research and scholarship of the teaching staff of the Centre or Institute and to ensure an equitable distribution of work. He/she shall also endeavour to promote the career development of administrative staff.
- (29) In the development and implementation of policy in a Centre or Institute, the Director shall seek the advice of the Centre or Institute expressed through either a representative committee or meetings of the members of the Centre or Institute. The division of duties between these two bodies may be expected to vary, in accordance with divisional constitutions as approved by Governing Council, but in general such matters as program changes should be discussed and approved by the Centre or Institute, while confidential matters should be discussed with a representative committee. There should be regularly scheduled meetings of a representative committee and of the members of the Centre or Institute.
- (30) In order to conduct the business of the Centre or Institute and to maintain reasonable contact with his/her area of research or scholarly interest, the Director may

- (a) recommend to the Dean the appointment of an Associate Director and/or other academic administrative officers with specific responsibilities to the Director in certain areas, and
- (b) appoint administrative personnel to supervise and provide advice on, for example, finances, physical facilities and personnel, and
- (c) request, where justified, research assistance from the Dean to maintain the continuity of research work.

## B. Term of Office

- (31) The term of office of the Director of a Centre or Institute is up to a maximum of five years, with the possibility of one renewal up to a maximum of five years. No further renewal after two terms shall be considered except where very unusual circumstances exist which, in the judgement of the President, make such renewal desirable.
- (32) Renewals of the term of office of the Director of a Centre or Institute, including renewal under unusual circumstances as provided in (31), shall be on the recommendation of a committee constituted as in (36).
- (33) In the case of absence of the Director the following procedures will apply:
  - (a) during the temporary absence of the Director for up to two months, the Director shall recommend to the Dean the appointment of either an Associate Director or a senior member of the teaching staff to serve as acting Director. The Dean shall inform the Vice-President and Provost.
  - (b) in the event of the Director's absence for a period of more than two months or if the office of the Director becomes unexpectedly vacant, the Dean, after consultation with members of the Centre or Institute and the Dean of the School of Graduate Studies, shall recommend the appointment of an Acting Director for a period of no more than one year and forward the recommendation to the President who shall thereafter transmit his/her own recommendation to the appropriate body of the Governing Council.
- (34) Administrative leave is awarded to a professor after a minimum term of service as an administrator to permit him/her to pursue his/her academic interests for a period free of all administrative responsibilities. Leave entitlement shall be based on the following:
  - (a) a Director shall be entitled to a full year's administrative leave at full salary after five years of administrative service. Time does not accrue towards a research leave while serving a full term and taking the related administrative leave. However, years credited towards a research leave at the time of an administrative appointment shall be preserved and counted towards the next research leave.
  - (b) if a Director serves a term of three years, he or she will be entitled to six months of administrative leave.
  - (c) where a Director serves fewer than five years, and does not elect to take the administrative leave entitlement as in (b), each of the years served shall be credited towards a regular research leave entitlement with the exception that, in calculating the research leave salary, the Director shall receive 100 percent of salary pro-rated for the years during which he/she held the office.

## C. Appointment of Directors

- (35) The searches for and appointment of Directors shall be made in conformity with the University's employment equity objectives.
- (36) In the appointment of Directors of Centres or Institutes, following a call for nominations, the President, in consultation with the Dean of the Faculty or School in which the Centre or Institute lies, shall appoint an advisory committee. The committee normally shall be composed as follows:
  - the Dean of the Faculty or School or representative who shall chair the committee;
  - three to five members of the teaching staff appointed to the Centre or Institute;
  - one or two students where appropriate;

- two to four other qualified individuals, at least two of whom shall be from outside the Centre or Institute; and
  - a librarian, where appropriate.
- (37) The membership of this committee shall be made public.
- (38) All members of the teaching and administrative staff of the Centre or Institute shall be informed of steps being taken to appoint a new Director and of the membership of the advisory committee. They shall be invited to communicate opinions concerning candidates within or outside the Centre or Institute and to submit nominations. The committee shall consider the names suggested and also any additional names arising from any other source such as consultation with alumni and departments, centres or institutes in other universities.
- (39) (a) In the event of the resignation of a member of the advisory committee, the Dean, after consultation with the advisory committee, shall have the authority to replace the member.
- (b) Should a member of the advisory committee decide to be considered for nomination, that member shall resign.
- (40) The recommendation of the committee and the vote shall be transmitted by the Dean of the Faculty or School, along with his/her own recommendation and, where the new Director is responsible for the graduate program, the recommendation of the Dean of the School of Graduate Studies, to all members of the committee and to the President, who shall thereafter transmit his/her own recommendation to the appropriate body of the Governing Council.

#### D. Removal of the Office Holder before Expiration of Term

- (41) A Director may be removed from administrative office only for misconduct, incompetence, neglect of duty or other significant failure to exercise the duties and responsibilities of the position as set out in Section II.A.
- (42) Where there is perceived cause for removal resulting from a conflict between the Director and the teaching staff, the Dean will, where appropriate, consult with the Dean of the School of Graduate Studies and with the support of the Vice-President and Provost, seek to mediate or correct the situation as early as possible.
- (43) Where there is perceived cause for removal resulting from a conflict between the Dean and the Director, the Vice-President and Provost will, where appropriate and with the support of the President, seek to mediate or correct the situation as early as possible.
- (44) If the process of mediation fails, as judged by any of the parties involved, and the Vice-President and Provost believes that formal proceedings are necessary, a formal inquiry shall be set up. At the same time, the Vice-President and Provost may choose to suspend the Director, without prejudice, financial or otherwise, for the period of the inquiry. In the case of suspension, the Vice-President and Provost shall recommend appointment of an Acting Director in order to facilitate the operation of the Centre or Institute during this period.
- (45) In setting up of a formal inquiry, the Vice-President and Provost shall appoint a committee composed of three senior members of the teaching staff from outside the Centre or Institute concerned, at least one of whom shall be from outside the Faculty or School, to consider the facts and recommend a course of action. The Director shall be informed of the names of the members of the committee and given an opportunity to challenge, in writing, the composition of the committee for bias, or conflict of interest.
- (46) The committee shall determine, in accordance with the *Statutory Powers Procedure Act, 1971*, whether it should recommend that the Director be removed from administrative office.
- (47) On completion of its proceedings, the committee shall report to the Vice-President and Provost with a recommendation, supported by reasons, that the Director either continue in office or be removed for cause. The report of the committee, with an invitation to respond, shall be made available to the Director, the Dean and the Dean of the School of Graduate Studies, and at the discretion of the Vice-President and Provost, to other concerned parties within the Centre or Institute. The report of the committee with any such responses and the recommendation of the Vice-President and Provost shall be transmitted to the

President for final decision. In the event of a decision for removal, the President shall report the decision and the reasons therefore to the next scheduled meeting of the Academic Board.

### III. The Office of Dean of a Faculty or School and Principal of a College

Deans, including Directors of Schools, are the divisional heads of Faculties and Schools, and Principals, the divisional heads of Colleges.

- (48) The Dean of a Faculty or School or the Principal of a College is the chief executive officer of the Faculty, School or College and reports directly to the Vice-President and Provost or his/her designate. ("Faculty, School or College" will hereafter be referred to as "division".) While the Dean or Principal may elect to delegate authority to other academic administrators in the division, he/she must retain responsibility for the overall direction of the division and in particular for authority over the budget, appointments and promotions. The Dean or Principal shall consult with the members of the division on matters of policy and practice as outlined in (52) and (53), but is ultimately responsible for all administrative decisions that are within his/her jurisdiction and authority.

The Principals, for Erindale College (University of Toronto at Mississauga) and Scarborough College (University of Toronto at Scarborough), are Divisional heads and the Chief Executive Officers for *each* campus. The President may delegate further responsibility for overall campus management to the Principal. The Principal reports to the Vice-President and Provost or his/her designate for academic matters. While the Principal may elect to delegate authority to other academic administrators in the division, he/she must retain responsibility for the overall direction of the division and in particular for authority over the budget, appointments and promotions. The Principal shall consult with the members of the division on matters of policy and practice as outlined in (52) and (53), but is ultimately responsible for all administrative decisions that are within his/her jurisdiction and authority.

Deans, for Erindale College (University of Toronto at Mississauga) and Scarborough College (University of Toronto at Scarborough), are academic Divisional heads of each College or Division within the College as may be created by the Governing Council. A Dean reports to the Principal. Chairs on each campus will report to their Dean. A Dean is the academic officer in charge of her/his Division. A Dean is responsible for her/his academic Division, and shall consult with the members of the Division on matters of policy and practice as outlined in (52) and (53), but is ultimately accountable to the Principal for all academic administrative decisions that are within his/her jurisdiction and authority.

#### A. Qualifications, Duties and Responsibilities

- (49) Deans and Principals should be appointed for their intellectual and administrative abilities, devotion to education and research, judgement and qualities of leadership. They have responsibility for the management of the Faculty, School or College and for the implementation of University policy in all aspects of its operation. They should have the ability to create an environment conducive to the growth of intellectual life within the division and to maintain the confidence and co-operation of teaching staff, administrative staff and students. They should be able to manage effectively and efficiently the administrative affairs of their division, and should have the ability to conduct effectively the external relations of their division, both within the University and in the wider community, so as to facilitate support for its educational and research activities.
- (50) Deans and Principals both represent their particular division's policies and points of view and, as University officers, make independent judgements on University matters. Deans and Principals shall put the interest of their division ahead of their own research interest or specialty.
- (51) The Dean or Principal shall endeavour to promote the teaching, research and scholarship of the teaching staff of the division and to ensure an equitable distribution of work. He/she shall endeavour to promote the career development of administrative staff.
- (52) In the development and implementation of policy in a departmentalized division, the Dean or Principal shall seek the advice of the division expressed either through the council or through the Chairs of the departments or Directors of Centres and Institutes in the School of Graduate Studies. The division of duties may be expected to vary, in accordance with divisional constitutions as approved by Governing Council, but in general such matters as program changes should be discussed and approved by the council,

while confidential matters should be discussed with the Chairs. There should be regularly scheduled meetings of the council and regular consultation between the Dean or Principal and the Chairs of departments or divisions.

- (53) In the development and implementation of policy in non-departmentalized divisions where the Dean or Principal is consequently also the Chair, the Dean or Principal shall seek the advice of the division expressed either through a representative committee or the council. The division of duties between these two bodies may be expected to vary, in accordance with divisional constitutions as approved by Governing Council, but in general such matters as program changes should be discussed and approved by the council while confidential matters should be discussed with a representative committee. There should be regularly scheduled meetings of a representative committee and of the divisional council.
- (54) In order to conduct the business of the Faculty, School or College and to maintain reasonable contact with his/her area of research or scholarly interest, the Dean or Principal may
  - (a) recommend to the Vice-President and Provost the appointment of Vice-Deans, Vice-Principals, Associate Deans, and/or other academic administrative officers as outlined in (83), (84), (100) or (101), with specific responsibilities to the Dean or Principal in certain areas, and
  - (b) appoint administrative personnel to supervise and provide advice on, for example, finances, physical facilities and personnel, and
  - (c) request, where justified, research assistance from the Vice-President and Provost to maintain the continuity of research work.

#### B. Term of Office

- (55) The term of office of the Dean of a Faculty or School or the Principal of a College is up to a maximum of seven years with the possibility of one renewal up to a maximum of five years. No further renewal after two terms shall be considered except where very unusual circumstances exist which, in the judgement of the President, make such renewal desirable.
- (56) Renewals of the term of office of the Dean or Principal, including renewal under unusual circumstances as provided in (55), shall be on the recommendation of a committee constituted as in (60), (61) or (62).
- (57) In the case of absence of the Dean or Principal the following procedures will apply:
  - (a) during the temporary absence of the Dean or Principal for up to two months, the Dean or Principal shall recommend to the Vice-President and Provost the appointment of either a Vice-Dean, an Associate Dean, a Vice-Principal or a senior member of the teaching staff to serve as acting Dean or Principal.
  - (b) in the event of the Dean's or Principal's absence for a period of more than two months or if the office of Dean or Principal becomes unexpectedly vacant, the Vice-President and Provost, after appropriate consultation with the members of the division, shall recommend the appointment of an Acting Dean or Acting Principal for a period of no more than one year and forward the recommendation to the President who shall thereafter transmit his/her own recommendation to the appropriate body of the Governing Council.
- (58) Administrative leave is awarded to a professor after a minimum term of service as an administrator to permit him/her to pursue his/her academic interests for a period free of all administrative responsibilities. Leave entitlement shall be based on the following:
  - (a) a Dean or Principal shall be entitled to a full year's administrative leave at full salary after five years of administrative service. Time does not accrue towards a research leave while serving a full term and taking the related administrative leave. However, years credited towards a research leave at the time of an administrative appointment shall be preserved and counted towards the next research leave.
  - (b) if a Dean or Principal serves a term of three years, he or she will be entitled to six months of administrative leave.

- (c) where a Dean or Principal serves fewer than five years and does not elect to take the administrative leave entitlement as in (b), each of the years served shall be credited towards a regular research leave entitlement with the exception that, in calculating the research leave salary, the Dean or Principal shall receive 100 percent of salary pro-rated for the years during which he/she held the office. Where a Dean or Principal serves more than five years in a single term, the additional years shall be similarly treated.

### C. Appointment of Deans and Principals

- (59) The searches for and appointment of Deans and Principals shall be made in conformity with the University's employment equity objectives.
- (60) In the appointment of a Dean of a Faculty or School<sup>1</sup>, following a call for nominations, the President, after consulting the Chairs of the constituent departments, where appropriate, and members of the Faculty or School council, shall appoint an advisory committee. With the exception noted for the School of Graduate Studies in (61), the committee normally shall be composed as follows:
- the Vice-President and Provost or representative who shall chair the committee;
  - three to five members of the teaching staff of the Faculty or School;
  - one to three students of that Faculty or School;
  - the Dean of the School of Graduate Studies or representative;
  - a librarian, where appropriate; and
  - two or three other qualified scholars from within or outside this University, but outside the Faculty or School.
  - in addition, the committee may include an alumnus/a, a member of the administrative staff and, in the case of professional faculties or schools, a senior member of the appropriate professional community.
- (61) In the appointment of the Dean of the School of Graduate Studies, following a call for nominations, the President, after consulting the Chairs, Directors, and members of the School's Council, shall appoint an advisory committee. The committee normally shall be composed as follows:
- the Vice-President and Provost or representative who shall chair the committee;
  - one member of the teaching staff from each of the divisions of the School of Graduate Studies;
  - one Dean of a Faculty or School;
  - one Chair of a graduate department;
  - one Director of a graduate Centre or Institute;
  - one to three graduate students; and
  - a librarian, where appropriate;
  - in addition, the committee may include an alumnus/a, a member of the administrative staff, and a qualified individual from outside the University.
- (62) (a) In the appointment of a Principal of a College<sup>2</sup>, following a call for nominations, the President, after consulting the Chairs of departments or divisions within the College, where appropriate, and members of the College council, shall appoint an advisory committee. The committee normally shall be composed as follows:
- the Vice-President and Provost or representative who shall chair the committee;

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<sup>1</sup> This section does not apply to the appointment of Deans of University of Toronto at Mississauga or University of Toronto at Scarborough; see section 62(c).

<sup>2</sup> This section does not apply to the appointment of a Principal of University of Toronto at Mississauga or University of Toronto at Scarborough; see section 62(b).

- three to five members of the teaching staff of the College and/or those who teach in the College's programs;
- one to three students of that College;
- the Dean of the School of Graduate Studies or representative;
- the Dean of the Faculty of Arts and Science or representative;
- two or three other qualified scholars from within or outside this University, but outside the College; and
- a librarian, where appropriate.
- in addition, the committee may include an alumnus/a and one or two members of the administrative staff.

(b) In the appointment of a Principal of a campus (University of Toronto at Mississauga, University of Toronto at Scarborough), following a call for nominations, the President, after consulting the Chairs of the constituent departments, and members of the College Council, shall appoint an advisory committee. The committee normally shall be composed as follows:

- the President or representative who shall chair the committee;
- the Vice-President and Provost or representative;
- the Dean of the School of Graduate Studies or representative;
- three to five members of the teaching staff of the campus;
- one to three students of the campus;
- a librarian, where appropriate; and
- two or three other qualified scholars from within or outside this University, but outside the campus;
- in addition, the committee may include an alumnus/a, a member of the administrative staff, and a qualified individual from outside the University.

(c) In the appointment of a Dean of a College or Division on the University of Toronto at Mississauga, or University of Toronto at Scarborough campus, following a call for nominations, the President, after consulting the Chairs of the constituent departments, and members of the College Council, shall appoint an advisory committee. The committee normally shall be composed as follows:

- the campus Principal or representative who shall chair the committee;
- the Vice-President and Provost or representative;
- the Dean of the School of Graduate Studies or representative;
- three to five members of the teaching staff of the College or Division;
- one to three students of the College or Division;
- a librarian, where appropriate; and
- two or three other qualified scholars from within or outside this University, but outside the College or Division;
- in addition, the committee may include an alumnus/a, a member of the administrative staff, and a qualified individual from outside the University.

(63) The membership of all committees shall be made public.

(64) All members of the teaching and administrative staff of the division shall be informed of steps being taken to appoint a new Dean or Principal and of the membership of the advisory committee. They shall be invited to communicate opinions concerning candidates within or outside the division and to submit nominations. The committee shall consider the names suggested and also any additional names arising

from any other source such as consultation with alumni and faculties, schools or colleges in other universities.

- (65) (a) In the event of the resignation of a member of the advisory committee, the Vice-President and Provost, after consultation with the advisory committee, shall have the authority to replace the member.
- (b) Should a member of the advisory committee decide to be considered for nomination, that member shall resign.
- (66) The recommendation of the committee and the vote shall be transmitted by the chair, along with his/her own recommendation, to all members of the committee and to the President, who shall thereafter transmit his/her own recommendation to the appropriate body of the Governing Council.

#### D. Removal of the Office Holder before Expiration of Term

- (67) A Dean or Principal may be removed from administrative office only for misconduct, incompetence, neglect of duty, or other significant failure to exercise the duties and responsibilities of the position as set out in Section III.A.
- (68) Where there is perceived cause for removal resulting from a conflict between the Dean or Principal and the Chairs, or in a single departmental Faculty, between the Dean and the teaching staff, the Vice-President and Provost will, where appropriate and with the support of the President, seek to mediate or correct the situation as early as possible.
- (69) Where there is perceived cause for removal resulting from a conflict between the Dean or Principal and the Vice-President and Provost, the President, where appropriate, will seek to mediate or correct the situation as early as possible.
- (70) If the process of mediation fails, as judged by any of the parties involved, and the President believes that formal proceedings are necessary, a formal inquiry shall be set up. At the same time, the President may choose to suspend the Dean or Principal, without prejudice, financial or otherwise, for the period of the inquiry. In the case of suspension, the President shall appoint an Acting Dean or Principal in order to facilitate the operation of the division during this period.
- (71) In setting up a formal inquiry, the President shall appoint a committee composed of three senior members of the teaching staff from outside the division concerned to consider the facts and recommend a course of action. The Dean or Principal shall be informed of the names of the members of the committee and given an opportunity to challenge, in writing, the composition of the committee for bias, or conflict of interest.
- (72) The committee shall determine, in accordance with the Statutory Powers Procedure Act, 1971, whether it should recommend that the Dean or Principal be removed from administrative office.
- (73) On completion of its proceedings, the committee shall report to the President with a recommendation, supported by reasons, that the Dean or Principal either continue in office or be removed for cause. The report of the committee, with an invitation to respond, shall be made available to the Dean or Principal and the Vice-President and Provost, and at the discretion of the President, to other concerned parties within the division. The report of the committee with any such responses shall be transmitted to the President for final decision. In the event of a decision for removal, the President shall report the decision and the reasons therefore to the next scheduled meeting of the Academic Board.

#### IV. The Office of Vice-Dean and Vice-Principal

- (74) The office of Vice-Dean or Vice-Principal should be established only where the size and/or complexity of the division warrants. The office of Vice-Dean or Vice-Principal may be established, after consultation with the teaching staff and with the approval of the Vice-President and Provost, to assist the Dean or Principal in carrying out the academic and administrative work of the division. The office of Vice-Dean or Vice-Principal shall be continued only after consultation with the special committee as described in (83) or (84) which shall first recommend to the Dean or Principal whether or not the Office should be continued, and with the approval of the Vice-President and Provost.

### A. Qualifications, Duties and Responsibilities

- (75) The Vice-Dean of a Faculty or School or the Vice-Principal of a College should be appointed on the basis of intellectual and administrative abilities, and should possess qualifications similar to those of the Dean or Principal, as described in (49). The Vice-Dean or Vice-Principal should have the ability to maintain the confidence and cooperation of the teaching staff, administrative staff and students of the division; to manage effectively and efficiently the administrative affairs of the division; and/or to conduct effectively external relations of the division.
- (76) Specific duties shall be delegated to the Vice-Dean or Vice-Principal by the Dean or Principal. The Vice-Dean or Vice-Principal may be appointed to act as the Dean's or Principal's representative within the division, the University and the wider community, with a broad range of responsibilities but not including matters such as finalizing of budgets and recommending of appointments and promotions.
- (77) Vice-Deans and Vice-Principals shall put the interest of their division ahead of their own research interest or specialty.
- (78) The administrative load of the Vice-Deans or Vice-Principals should not be so large as to prevent them from retaining reasonable contact with their area of research or scholarly interest.

### B. Term of Office

- (79) The term of office of a Vice-Dean or Vice-Principal is up to a maximum of five years or a maximum of one year beyond the term of appointment of the Dean or Principal, whichever is less, with the possibility of one renewal under similar terms, upon recommendation of a special committee as constituted in (83) or (84). Notwithstanding these terms, a newly-appointed Dean or Principal shall have the prerogative of initiating the appointment of a new Vice-Dean or Vice-Principal according to the procedures in (83) or (84).
- (80) Administrative leave is awarded to a professor after a minimum term of service as an administrator to permit him/her to pursue his/her academic interests for a period free of all administrative responsibilities. Leave entitlement shall be based on the following:
  - (a) Vice-Dean or Vice-Principal shall be entitled to a full year's administrative leave at full salary after five years of administrative service. Time does not accrue towards a research leave while serving a full term and taking the related administrative leave. However, years credited towards a research leave at the time of an administrative appointment shall be preserved and counted towards the next research leave.
  - (b) if a Vice-Dean or Vice-Principal serves a term of three years, he or she will be entitled to six months of administrative leave.
  - (c) where a Vice-Dean or Vice-Principal serves fewer than five years and does not elect to take the administrative leave entitlement as in (b), each of the years served shall be credited towards a regular research leave entitlement with the exception that, in calculating the research leave salary, the Vice-Dean or Vice-Principal shall receive 100 percent of salary pro-rated for the years during which he/she held the office.

### C. Appointment of Vice-Deans and Vice-Principals

- (81) The searches for and appointment of Vice-Deans and Vice-Principals shall be made in conformity with the University's employment equity objectives.
- (82) Because of the close working relationship between Dean and Vice-Dean or Principal and Vice-Principal, their relationship must be founded on mutual respect and confidence. Hence it is essential that the recommendation of a person for the position of Vice-Dean or Vice-Principal be made by the Dean or Principal and not by a committee, but he/she shall be advised by a special committee as described in (83) or (84). It is equally important that a person in the position of Vice-Dean or Vice-Principal has the respect and confidence of members of the division, the University and the wider community with whom he/she will be working and for this reason the Dean or Principal must seek and receive advice from these constituencies before making a recommendation.

(83) In the appointment of the Vice-Dean of a Faculty or School or the Vice-Principal of a College, the Dean or Principal shall appoint a special committee to advise him/her on possible candidates and shall inform the Vice-President and Provost of its membership. Where the committee has been formed to recommend a successor to the present Vice-Dean or Vice-Principal, the committee shall first recommend whether or not the Office itself ought to be continued. With the exception noted for the School of Graduate Studies in (84), the committee normally shall be composed as follows:

- the Dean or Principal or representative who shall chair the committee; and
- five to eight persons, drawn from teaching staff, students and administrative staff of the division, teaching staff from outside the division and members of the wider community including alumni, each group not necessarily being represented.

A committee to advise on the appointment of the Vice-Dean of a Faculty or School or the Vice-Principal of a College that has a departmentalized organization should include at least three Chairs of departments among its members. If the Faculty, School or College has a non-departmentalized organization, the committee should include at least three teaching staff. The composition of the special committee should reflect the responsibilities that the Dean or Principal intends to delegate to the Vice-Dean or Vice-Principal. The committee shall nominate up to three candidates and, after consultation with the Chairs, where appropriate, one of these will be recommended by the Dean or Principal to the President who shall transmit his/her own recommendation to the appropriate body of the Governing Council. The Dean or Principal shall inform the committee of his or her recommendation.

(84) In the appointment of the Vice-Dean of the School of Graduate Studies, the Dean shall appoint a special committee to advise him/her on possible candidates and shall inform the Vice-President and Provost of its membership. Where the committee has been formed to recommend a successor to the present Vice-Dean, the committee shall first recommend whether or not the Office itself ought to be continued. The committee normally shall be composed as follows:

- the Dean or representative who shall chair the committee;
- one associate dean;
- three to six directors of centres and institutes; and
- two or three graduate chairs.

The committee shall nominate up to three candidates. After consultation with the Associate Deans, one of these candidates will be recommended by the Dean to the President, who shall transmit his/her own recommendation to the appropriate body of the Governing Council. The Dean shall inform the committee of his or her recommendation.

#### D. Removal of the Office Holder before Expiration of Term

- (85) A Vice-Dean or Vice-Principal may be removed from administrative office only for misconduct, incompetence, neglect of duty or other significant failure to exercise the duties and responsibilities of the position as set out in Section IV.A. However, a newly appointed Dean or Principal may choose to replace a Vice-Dean, Vice-Principal or Associate Dean who was appointed by his/her predecessor. (See (79) and (97).)
- (86) Where there is perceived cause for removal resulting from a conflict between the Vice-Dean or Vice-Principal and the members of the Faculty, School or College, the Dean or Principal will, where appropriate and with the support of the Vice-President and Provost, seek to mediate or correct the situation as early as possible.
- (87) Where there is perceived cause for removal resulting from a conflict between the Dean or Principal and the Vice-Dean or Vice-Principal, the Vice-President and Provost will, where appropriate and with the support of the President, seek to mediate or correct the situation as early as possible.
- (88) If the process of mediation fails, as judged by any of the parties involved, and the Vice-President and Provost believes that formal proceedings are necessary, a formal inquiry shall be set up. At the same time, the Vice-President and Provost may choose to suspend the Vice-Dean or Vice-Principal, without

prejudice, financial or otherwise, for the period of the inquiry. In the case of suspension, the Vice-President and Provost shall recommend appointment of an Acting Vice-Dean or Vice-Principal in order to facilitate the operation of the Faculty, School or College during this period.

- (89) In setting up a formal inquiry, the Vice-President and Provost shall appoint a committee composed of three senior members of the teaching staff from outside the Faculty, School or College concerned, to consider the facts and recommend a course of action. The Vice-Dean or Vice-Principal shall be informed of the names of the members of the committee and given an opportunity to challenge, in writing, the composition of the committee for bias, or conflict of interest.
- (90) The committee shall determine, in accordance with the *Statutory Powers Procedure Act, 1971*, whether it should recommend that the Vice-Dean or Vice-Principal be removed from administrative office.
- (91) On completion of its proceedings, the committee shall report to the Vice-President and Provost with a recommendation, supported by reasons, that the Vice-Dean or Vice-Principal either continue in office or be removed for cause. The report of the committee, with an invitation to respond, shall be made available to the Vice-Dean or Vice-Principal and the Dean or Principal, and at the discretion of the Vice-President and Provost, to other concerned parties within the Faculty, School or College. The report of the committee with any such responses and the recommendation of the Vice-President and Provost shall be transmitted to the President for final decision. In the event of a decision for removal, the President shall report the decision and the reasons therefore to the next scheduled meeting of the Academic Board.

## V. The Office of Associate Dean

- (92) The office of one or more Associate Deans may be established, after appropriate consultation with the teaching staff and with the approval of the Vice-President and Provost, to assist the Dean of a Faculty or School or of a College or Division on the UTM or UTSC campus in carrying out the academic and administrative work of the division. The office of Associate Dean shall be continued only after consultation with the special committee as described in (100) or (101) which shall first recommend to the Dean or Principal whether or not the Office should be continued, and with the approval of the Vice-President and Provost.

### A. Qualifications, Duties and Responsibilities

- (93) The qualities required for the Associate Dean of a division should be similar to those of Deans and Principals, but with these qualities focused on the requirements of a particular post.
- (94) Specific duties shall be delegated to each Associate Dean by the Dean. In smaller Faculties or Schools which do not have an office of Vice-Dean, the Associate Dean or Deans may be assigned division-wide duties similar to those assigned to a Vice-Dean of a larger Faculty or School. In larger Faculties or Schools which do have an office of Vice-Dean, Associate Deans may be expected to carry out sectoral responsibilities where their jurisdictions are defined by groups of departments or academic divisions within the Faculty or School, or they may be assigned specific functional responsibilities under the supervision of the Dean. While Associate Deans may have certain delegated responsibilities, the final responsibility and authority must remain with the Dean.
- (95) Associate Deans shall put the interest of the division ahead of their own research interest or specialty.
- (96) The administrative load of the Associate Deans shall not be so large as to prevent them from retaining reasonable contact with their area of research or scholarly interest.

### B. Term of Office

- (97) The term of office for an Associate Dean is up to a maximum of five years, with the possibility of one renewal to a maximum of five years upon recommendation of a special committee as constituted in (100) or (101). Notwithstanding these terms, a newly-appointed Dean shall have the prerogative of initiating the appointment of new Associate Deans according to the procedures in (100) or (101).

- (98) Administrative leave is awarded to a professor after a minimum term of service as an administrator to permit him/her to pursue his/her academic interests for a period free of all administrative responsibilities. Leave entitlement shall be based on the following:
- (a) an Associate Dean shall be entitled to a full year's administrative leave at full salary after five years of administrative service. Time does not accrue towards a research leave while serving a full term and taking the related administrative leave. However, years credited towards a research leave at the time of an administrative appointment shall be preserved and counted towards the next research leave.
  - (b) if an Associate Dean serves a term of three years, he or she will be entitled to six months of administrative leave.
  - (c) where an Associate Dean serves fewer than five years and does not elect to take the administrative leave entitlement as in (b), each of the years served shall be credited towards a regular research leave entitlement with the exception that, in calculating the research leave salary, the Associate Dean shall receive 100 percent of salary pro-rated for the years during which he/she held the office.

### C. Appointment of Associate Deans

- (99) The searches for and appointment of Associate Deans shall be made in conformity with the University's employment equity objectives.
- (100) In the appointment of an Associate Dean of a Faculty, School, or College, the Dean shall appoint a special committee to advise him/her on possible candidates and inform the VicePresident and Provost of its membership. Where the committee has been formed to recommend a successor to the present Associate Dean, the committee shall first recommend whether or not the Office itself ought to be continued. With the exception noted for the School of Graduate Studies in (101), the committee normally shall be composed as follows:

- the Dean or representative who shall chair the committee; and
- three to five members of the teaching staff from within the division. In addition the committee may include one or two qualified individuals from appropriate constituencies from outside the division. In the appointment of an Associate Dean in a Faculty or School that has a departmentalized organization, the advisory committee should include at least three Chairs of departments. The membership of the committee should reflect the responsibilities of the Associate Dean.

The committee shall nominate up to three candidates. After consultation with members of the division and other persons who would work closely with the Associate Dean, the Dean shall recommend one of these to the President, who shall transmit his/her own recommendation to the appropriate body of the Governing Council. The Dean shall inform the committee of his or her recommendation.

- (101) In the appointment of the Associate Deans of the School of Graduate Studies, the Dean, after consultation with the Chairs and Directors of the division, shall appoint a special committee to advise him/her on possible candidates and inform the Vice-President and Provost of its membership. Where the committee has been formed to recommend a successor to the present Associate Dean, the committee shall first recommend whether or not the Office itself ought to be continued. The committee normally shall be composed as follows;

- the Dean or representative who shall chair the committee; and
- three to five Chairs or Directors of the appropriate division (normally there will be representation across the campus).

The committee shall nominate up to three candidates. After consultation with the Chairs and Directors of the division, including consultation across the campus, the Associate Deans and the Vice-Dean, the Dean shall recommend one of these candidates to the President, who shall transmit his/her own recommendation to the appropriate body of the Governing Council. The Dean shall inform the committee of his or her recommendation.

D. Removal of the Office Holder before Expiration of Term

(102) The procedures for removal of Associate Deans before the expiration of their terms are analogous to those for Vice-Deans and Vice-Principals in (85) to (91).

VI. The Office of Assistant Dean and Assistant Principal

(103) The title of Assistant Dean or Assistant Principal should be reserved for offices normally held by members of the administrative staff or by a teaching staff member where scholarly credentials are not a primary criterion in the selection.

**RELEVANT DOCUMENTS** (added for reference by the Secretariat, January 14, 2020)

*University of Toronto Act, 1971*

*Statutory Powers Procedure Act, 1971*

**END OF POLICY ON APPOINTMENT OF ACADEMIC ADMINISTRATORS**