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RULES OF PROCEDURE FOR THE APPOINTMENT OF FULL-TIME DEANS

A. CONTEXT

The regulations below and the procedures contained therein must be interpreted and implemented within the context of the University's Institutional Intent and Strategy as well as the principles and points of departure in other policy documents and shall at all times be subject to them.

B. POINTS OF DEPARTURE

1. The University must make the best possible selection in the appointment of Deans.
2. The basic requirements applying to the position must be taken into account in the appointment of Deans. A Dean must:
 - a) provide dynamic leadership for the faculty concerned, taking into account the strategic indicators (mission, vision and values of the University) in order to manage optimally the three core processes (research, teaching and community service);
 - b) possess the necessary management skills to be able to function in a decentralised management system; and
 - c) be able to be appointed, in the normal course of things, as professor in an academic department in the faculty concerned.
3. In terms of Section 34 of the Higher Education Act, No. 101 of 1997, the authority of appointing employees rests with the Council of the University. A Dean is thus appointed by the Council of the University after consultation with the Faculty Board concerned, the Senate and the Joint Appointments Committee of Council (comprising of the Rector's Management Team (RMT) and the Human Resources Committee of the Council).
4. The teaching staff, the non-teaching staff and the students of a faculty are involved in the process of the appointment of a Dean through having seats on the Selection Committee responsible for advertising the post, recruiting candidates and drawing up the final short list. All members of the Faculty Board play an important part in the process in that they have the opportunity of recommending candidates and indicating their preference with regard to the candidates on the final short list.

5. Although all recommendations that are made during the various phases of the appointment of a full-time Dean are submitted to the Council, the recommendations made at any of the levels are not binding on the subsequent level of decision making.
6. Where the Rules of Procedure for the Appointment of Full-time Deans stipulate that candidates must be voted on in the Faculty Board and the Senate, it will be regarded as a consultative mechanism. The results of the ballot are reported by indicating the number of Yes votes and No votes with regard to each candidate.
7. Where the Rules of Procedure for the Appointment of Full-time Deans stipulate that candidates must be voted on in the Council, it will be regarded as a Council decision, in which case the successful candidate must secure an absolute majority of the votes of the members present who are entitled to vote and who do so.
8. The following rules will apply with regard to the voting envisioned in B6 of the Rules of Procedure:
 - a) where the suitability of the candidates has to be voted on, a Yes option and a No option will appear on the ballot paper with regard to each candidate;
 - b) unless determined otherwise by the Chair, voting takes place by means of secret ballot.
9. The rules as stipulated in 8(a & b) as well as the following rules will apply with regard to the voting envisioned in B7 of the Rules of Procedure:
 - a) *absolute majority* means half (50%) plus one (only with regard to the voting of the Council);
 - b) a member of the electoral college concerned who chooses to abstain from voting and thus does not complete a ballot paper or hands in an incomplete ballot paper is regarded as absent for the purpose of the result of the ballot and will therefore not be regarded as a participating vote for the purpose of determining the number of votes necessary in order to secure an absolute majority;
 - c) the ballot paper of a member of the body (electoral college) concerned who does not complete his/her ballot paper according to instructions will be regarded as a spoilt vote and will not be regarded as a participating vote for the purpose of determining the number of votes necessary in order to secure an absolute majority. (A spoilt vote is a vote with regard to which some or other action that cannot be interpreted as a Yes or a No vote has been carried out);
 - d) if the names of more than one candidate appear on the ballot paper and the electoral college is expected to cast a vote with regard to each candidate, action will be taken with regard to a candidate according to the stipulations of B9b of B9c (whichever is applicable) in cases where a vote is not cast for a candidate.

C. GENERAL PRINCIPLES

A uniform approach for all faculties will be followed with regard to:

1. the term of the appointment, which is normally five years (but no more); and
2. the approach that an appointment is linked to a particular academic department, on the understanding that a Dean who has not yet reached retirement age and is not available for a further term as Dean or is not reappointed,

- a) will be accommodated within the faculty concerned,
- b) the cost relating to the position will be carried by the faculty concerned and will not be devolved to the department, and
- c) the financing by the faculty will be phased in over a period of three years, with interim financing provided centrally.

D. PROCEDURE

1. The process for appointing a Dean is initiated by the Rector, in consultation with the RMT and the Human Resources Committee of the Council, usually nine months before the end of the term of the Dean concerned or on the establishment of a new faculty.
2. A Selection Committee, chaired by the Rector (or his/her representative), is set up by the Rector. The Selection Committee will include the following:
 - a) the Rector (or his/her representative) as Chair;
 - b) two members appointed by the Appointments Committee (Senate) from its elected members who are not members of the Faculty Board concerned;
 - c) one member of the Senate who is not a member of the Faculty Board in which the vacancy has occurred, appointed by the Executive Committee (Senate), with the proviso that one of the three members, as provided for in D2 (b and c), must be a serving Dean in another faculty of the University;
 - d) five members of the Faculty Board concerned, appointed by the Faculty Board at a meeting chaired by the Rector (or his/her representative). These lecturers need not necessarily be connected with particular job levels or departments, but it is essential that they, as far as possible, should represent all the broad directions of the faculty, should be representative of the composition of the lecturing staff and should include members from the designated groups;
 - e) one member of the technical and administrative staff of the faculty concerned, appointed by this group of people;
 - f) two members of the Council, appointed by the Council;
 - g) one student of the faculty concerned, appointed by the faculty student committee or similar body;
 - h) one member of the Institutional Forum, appointed by the members of the Institutional Forum.

Note: In the case of the Faculty of Military Science, the Commanding Officer of the Military Academy and in the case of the Faculty of Health Sciences, one representative of the Department of Health of the Provincial Government of the Western Cape is also a member of the Selection Committee.

1. Any member of the Selection Committee who is a candidate for the vacant position must withdraw from the Selection Committee and will be replaced as indicated in D2 (a-h).

2. The Selection Committee carries out its functions in accordance with the Internal Regulations of the Selection Committee (Addendum A).
3. The Rector, on behalf of the Council, in consultation with the RMT and the Human Resources Committee of the Council, as well as after consultation with the Faculty concerned, makes available a job description as well as the qualifications and other criteria that the candidate must meet. In the case of the Faculty of Military Science, the Rector, on behalf of the Council, in consultation with the Commanding Officer of the Military Academy, on behalf of the Head of Joint Training, makes available a detailed job description and the qualifications and other criteria that the candidate must meet.
4. The advertisement for the filling of the vacancy is finalised by the Rector. The position is advertised in the media nationally and, should the Selection Committee so decide, internationally.
5. The Selection Committee invites members of the Faculty Board to nominate suitable candidates. Nominations must be supported by at least five members of the Faculty Board and must contain a written declaration by the nominee that he/ she accepts the nomination.
6. The Selection Committee recruits suitable candidates in accordance with the provisions of C(i) of the Internal Regulations of the Selection Committee (Addendum A) to apply for the position, especially candidates from the designated groups. The Selection Committee reports on the recruitment process to the Faculty Board as well as to the Senate and Council.
7. The candidates are asked to prepare an informative statement in which they, among others, give their view of the faculty's future and of the role they see themselves playing in it.
8. After the closing date for applications, the Selection Committee draws up a provisional short list of appointable candidates and conducts interviews with these candidates in order to draw up a final short list (containing at least three names) of appointable candidates, provided that:
 - a) deviating from the provisions of D8 should be motivated thoroughly if less than three names of appointable candidates are submitted to the Faculty Board;
 - b) the Selection Committee can repeat the whole identification process if, in the Committee's opinion, not enough suitable candidates were found;
 - c) the final short list normally contains at least one person from the designated groups;
 - d) both the provisional and final short lists are compiled according to the procedure as stipulated in B(iv) of the Internal Regulations of the Selection Committee; and
 - e) the Selection Committee appoints a person from its own ranks to table the report at a special meeting of the Faculty Board.
9. At the special meeting of the Faculty Board that takes place under the chairpersonship of the Rector (or his/her delegate),
 - a) the final short list, in alphabetical order, with the Selection Committee's comments and motivation, the candidates' statements of their point of view and abridged curricula vitae and the recruitment report are submitted to the Faculty

Board (the full curricula vitae of all applicants will be made available by the Human Resources Division for consultation by members of the Faculty Board a certain period of time before the special meeting);

- b) the candidates on the final short list are given an equal opportunity to present their points of view to the Faculty Board and to answer questions from the Faculty Board;
 - c) the members of the Faculty Board vote on each candidate on the final short list, taking into account the job requirements and advertised criteria (each person entitled to vote having one vote for each candidate) with the aim of advising the Senate on the suitability of the candidates on the final short list to be appointed as Dean of the faculty concerned;
 - d) the members of the Faculty Board are also given the opportunity to indicate their preference with regard to the candidates who are recommended in that each person entitled to vote has one vote to indicate his/her preferred candidate;
 - e) both ballots take place under the supervision of the Rector or his/her delegate;
 - f) the results of both ballots, in terms of the number of votes obtained by each candidate, are announced to the Faculty Board; and
 - g) the results of both ballots in the Faculty Board are put before the Senate by the Selection Committee, as stipulated in B6.
10. After the special Faculty Board meeting, the Selection Committee reports to Senate.
 11. The final short list, in alphabetical order, with the Selection Committee's comments and motivation, the statements of their point of view of the candidates on the short list and their abridged curricula vitae, the recruitment report and the recommendations of the Faculty Board are submitted to the Senate. (Before the meeting the Human Resources Division will make the full curricula vitae of all the candidates on the final short list available to the members of the Senate for consultation.) The Senate decides by means of a ballot on the candidate or candidates recommended by the Selection Committee. The results of the ballot are put before the Joint Appointments Committee, comprising of the RMT and the Human Resources Committee of Council.
 12. The Council of the University considers the recommendations of the Selection Committee, the Faculty Board, the Senate and the Joint Appointments Committee and makes a final decision on the appointment of a suitable candidate on the basis of an absolute majority. If no appointment is made, the appointment procedure is repeated at least one more time. If this procedure once again results in no candidate being appointed, the Selection Committee, in consultation with the Faculty Board, will determine an alternative procedure.

E. REAPPOINTMENT OF DEANS

1. The Rector usually initiates the process for the possible reappointment of a Dean for another term nine months before the expiry of the term of the Dean.
2. A serving Dean who has not yet reached retirement age by the end of his/her term of appointment and who has indicated that he/she is available for a further term may continue as an employee of the University, as provided for in C2.

3. If a serving Dean indicates nine months before the end of his/her first term of appointment that he/she is available for a further term, and if so recommended by the RMT, the Appointments Committee (Senate) considers the possibility of recommending to the Joint Appointments Committee (comprising of the RMT and the Human Resources Committee of the Council), the Dean's appointment for a further term, taking into account the performance of the individual and after consultation with the Faculty Board concerned, as provided for in E4. The Council will be informed accordingly.
4. At a special meeting of the Faculty Board, chaired by the Rector (or his/her delegate),
 - i) the Faculty Board decides on the suitability for reappointment of the serving Dean by means of a ballot, taking into account the job requirements;
 - ii) the ballot takes place under the supervision of the Rector or his/her delegate; and
 - iii) the Joint Appointments Committee considers the recommendations of the Faculty Board and takes a final decision on the basis of an absolute majority.
5. If the Joint Appointments Committee decides not to reappoint a serving Dean for a further term, he/she has the choice of continuing as an employee of the University, in terms of the provisions of C2.
6. If a serving Dean is available to act as Dean for a third term, the reappointment must take place in terms of the normal full procedure (as described in D1–12).

ADDENDUM A INTERNAL REGULATIONS OF THE SELECTION COMMITTEE

The composition of the Selection Committee is described in paragraph D2 of the Appointments Procedure. The Selection Committee carries out the functions and duties as set out in the Appointments Procedure, in terms of the Regulations below.

A. GENERAL PRINCIPLES AND PROCEDURES

- i) The usual meeting procedures and rules apply at all meetings of the Selection Committee.
- ii) All information relating to the candidates that is made available to members in the course of the proceedings of the Selection Committee must be treated in confidence.
- iii) Two-thirds of the designated members of the Selection Committee are required to constitute a quorum.
- iv) Minutes of the decisions of each meeting of the Selection Committee must be kept and approved according to the usual procedures.

B. THE ROLE OF THE CHAIR

- i) The Chair is responsible for the orderly conduct of meetings of the Selection Committee and must ensure that the procedures and rules for meetings are strictly adhered to.
- ii) The Chair also ensures that the questions and discussions are fair and equitable to the candidates at all times.

- iii) The Chair is responsible for ensuring that any ballots on the inclusion or exclusion of candidates from the provisional or final short lists are conducted by secret ballot and must obtain the Selection Committee's agreement that all ballots have been conducted correctly and without any reason for being declared invalid.
- iv) The Selection Committee decides at the time of its constitution on the procedures to be followed in drawing up short lists.

C. RECRUITING CANDIDATES

- i) Individual members of the Selection Committee may not recruit any potential candidate for the dean's post concerned. Recruitment actions will be undertaken and coordinated by the Chair or by a small subgroup, with reference to a decision made by the Selection Committee on the person/s who should be approached.
- ii) Selection Committee members may not be involved in the nomination of candidates.

D. REPORT OF THE SELECTION COMMITTEE TO THE FACULTY BOARD AND SENATE

- i) The report of the Selection Committee to the Faculty Board and Senate must have the support of all members of the Selection Committee, provided that, in exceptional cases and after all reasonable attempts at arriving at consensus have been exhausted, minority reports may be submitted.
- ii) The report must contain sufficient information on the candidates with whom interviews have been conducted and who appear in alphabetical order on the short list to enable the members of the Faculty Board, the Senate, the Joint Appointments Committee and the Council to reach a considered decision.
- iii) The report must contain an assessment by the members of the Selection Committee of the equity and fairness of the process that has been followed.

Approved by the Council on 22 June 2009