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# Regulations for the appointment and reappointment of a Faculty Dean

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<i>The English version of this document is the operative version and the Afrikaans version is a translation thereof.</i>	

## **1. Introduction**

The regulations below are subject to the Statute of Stellenbosch University ("Statute"). The regulations and the procedures contained in this Regulation must be interpreted and implemented in accordance with the Statute. Where applicable, the provisions contained in any other policy document must be considered and applied.

## **2. Purpose**

The purpose of this document is to provide guidelines for the appointment and reappointment of a Faculty Dean.

## **3. Initiation of the appointments process**

The process for appointing a Faculty Dean is initiated by the Rector, in consultation with the Rectorate, usually nine (9) months before the end of the term of the Dean concerned or on the establishment of a new faculty.

## **4. Principles/Points of departure**

The following points of departure apply:

- 4.1 The Council approves the establishment of a Senior Appointments Committee (SAC) and delegates its authority to the SAC.
- 4.2 Appropriate consultation with and participation of all relevant stakeholders.
- 4.3 Final authority and oversight regarding the appointment resides with the SAC.
- 4.4 The SAC's membership must reflect appropriate levels of diversity in respect of race, gender, and disability.
- 4.5 Human Resources functions as the secretariat and will be the convenor of the SAC.
- 4.6 The Chairperson of the SAC is the Rector (or delegate).
- 4.7 The SAC reports the decision to Senate and Council via the Registrar's Office (Secretariat of Council).
- 4.8 The IF and the Faculty Board vote on preference, which serves as advice to the SAC.
- 4.9 Senate delegates its responsibility in terms of the Statute in the appointment process of the dean of a faculty to the Faculty Board as a subcommittee of

Senate (Delegations Framework).

- 4.10 The SAC votes and it will be regarded as a SAC decision. The successful candidate must secure an absolute majority (50% + 1) of the votes of the members of the SAC present and voting.

## 5. Procedure

- 5.1 Council approves the establishment of a SAC of thirteen (13) members with the following composition:
- 5.1.1 Rector (or delegate) – Chairperson.
  - 5.1.2 One member from the Rectorate, on job level 2, appointed by the Rectorate.
  - 5.1.3 An external expert from another HE Institution/Private Sector/Public Sector, which must be at the level of a Dean/senior expert, appointed by the Rector.
  - 5.1.4 Two Members of Senate (from the academic members) appointed by the EC(S).
  - 5.1.5 Four Faculty Board members, appointed by the Faculty Board of the faculty concerned.
  - 5.1.6 One support services staff member appointed by the Support Services Staff Members of the faculty concerned – appointment process to be coordinated by the Dean's Office;
  - 5.1.7 One member of the Institutional Forum (IF) appointed by the Executive Committee of the IF.
  - 5.1.8 The Chief Director: Human Resources (non-voting member).
  - 5.1.9 One Student Representative appointed by the Faculty Student Committee of the faculty concerned

**Note:** In the case of the Faculty of Military Science, the Commanding Officer of the Military Academy is also a member of the SAC.

In the case of the Faculty of Medicine and Health Sciences, one representative of the Department of Health of the Provincial Government of the Western Cape is also a member of the SAC.

## **5.2 Process to appoint SAC members**

- 5.2.1 All constituent bodies will be requested to nominate two members who may serve on the SAC, one member will serve as the primary SAC member and the other member will serve as the substitute member in the event of the primary member's absence.
- 5.2.2 HR will present the names of the persons nominated by the constituent bodies to the chair of the SAC. It is the chair of the SAC's responsibility to ensure that the SAC is sufficiently diverse.
- 5.2.3 HR will communicate the composition of the SAC to the Registrar's Responsibility Centre who will in turn communicate with the respective constituent bodies who has been selected as the primary and substitute members of the SAC.

## **6. Delegation of Chairpersonship**

- 6.1 The Rector may delegate the role as Chairperson of the SAC to any other member of the SAC including voting rights.

## **7. Role of substitute members**

- 7.1 A substitute member has the same duties, powers, and responsibilities as the primary member.
- 7.2 A primary member is bound by any vote and/or decision taken by the substitute member in their absence.
- 7.3 Constituent bodies must ensure that both the primary and the substitute members' term of appointment on the body they represent is valid for the duration of the SAC process.

## **8. Conflict of interest**

- 8.1 All members of the SAC must declare any actual or potential conflict of interest in any appointment process, including one arising from any relationship with a candidate.
- 8.2 Where a substitute member is appointed as a result of any actual or potential conflict of interest of the primary member, such substitution will be for the entire appointment process.

## **9. Role of the SAC**

### **9.1 General Principles and Procedures**

- 9.1.1 The usual meeting procedures and rules apply at all meetings of the SAC.
- 9.1.2 All information relating to the candidates that is made available to members in the course of the proceedings of the SAC must be treated confidentially.
- 9.1.3 Two-thirds of the designated members of the SAC are required to constitute a quorum.
- 9.1.4 Minutes of the decisions of each meeting of the SAC must be kept and approved according to the usual procedures.
- 9.1.5 The SAC decides at the time of its convening on the procedures to be followed in drawing up the provisional and the final shortlists.
- 9.1.6 The SAC must ensure that candidates on the shortlist are given the opportunity to bring any information that the candidates deem necessary and important, to the attention of the SAC.

## **10. The Role of the Chair**

- 10.1 The Chair is responsible for the orderly conduct of meetings of the SAC and must ensure that the procedures and rules for meetings are strictly adhered to.
- 10.2 The Chair must ensure that SAC members have declared any conflict of interest.
- 10.3 The Chair also ensures that the questions and discussions are fair and equitable to the candidates at all times.
- 10.4 The Chair is responsible for ensuring that any ballots on the inclusion or exclusion of candidates from the provisional or final shortlists are conducted by secret ballot and must obtain the SAC's agreement that all ballots have been conducted correctly and without any reason for being declared invalid.

## **11. Recruiting Candidates**

- 11.1 Individual members of the SAC may not recruit or nominate any potential candidate for the position of Dean. Strategic Recruitment actions will be undertaken and coordinated by the Chief Director: HR.
- 11.2. In order to prepare a provisional shortlist the Chief Director: HR will ensure that the SAC is presented with an adequate pool of suitable candidates

## **12. Report of the SAC**

- 12.1 All members must agree to the accuracy of the content of the report that is submitted to the Faculty Board and the IF.
- 12.2 The report must contain sufficient information in relation to the inherent requirements of the position as set out in the advertisement and the performance of the candidates with whom interviews have been conducted.
- 12.3 The report must contain an assessment by the members of the SAC of the equity and fairness of the process that has been followed.
- 12.4 The SAC must appoint a person from its own ranks to table the report at a meeting of the Faculty Board and the IF.

## **13. Term of appointment, conferment of an academic rank, and fall-back option**

- 13.1 The term of the appointment is not more than five years. The incumbent may be reappointed for one more consecutive term without having to apply again after which the incumbent may apply again.
- 13.2 A Dean must be suitable for appointment as Professor (Professor or Associate Professor) in an academic department in the faculty concerned. The normal procedures of the Appointments Committee of Senate are followed for conferring an academic rank on the person appointed.
- 13.3 A fall-back option to an academic department is applicable for internal and external candidates.
- 13.4 The 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 -
  - 13.4.1 will be accommodated within the faculty concerned,
  - 13.4.2 the cost relating to the position will be carried by the faculty concerned

- and will not be devolved to the department, and
- 13.4.3 the financing by the faculty will be phased in over a period of three years, with interim financing provided centrally.

#### **14. Steps in the recruitment and selection procedure**

- 14.1 The SAC drafts and finalises an advertisement and specifies the inherent requirements of the position, qualifications, and other criteria (including leadership and managerial criteria) that the candidate must satisfy, within the framework of the Higher Education Act (Act 101 of 1997) and the Statute. HR will provide the draft advertisement.
- 14.2 In the case of the Faculty of Military Science, the Rector, on behalf of the SAC, in consultation with the Chief Human Resources, on behalf of the Secretary for Defense, makes available a detailed job description and other criteria that the candidate for Dean of Military Science must meet.
- 14.3 HR advertises the post in the media and conducts strategic recruitment in order to broaden the pool of suitable candidates.
- 14.4 After the closing date for applications, the SAC, in the context of the Employment Equity Policy and the promotion of diversity, draws up a provisional shortlist and conducts interviews with a view to arriving at a final shortlist of preferably three (3), but no less than two (2) suitable candidates.
- 14.5 The SAC must repeat the recruitment process or a part thereof if, in its judgement, there are fewer than two (2) suitable candidates.
- 14.6 HR carries out the following actions regarding the shortlisted candidate's candidature before the interviews are conducted and feedback about the inquiry will be provided to the chairperson of the SAC:
- 14.6.1 Request and obtain written reference reports.
- 14.6.2 Background Information checks, including the following checks:
- 14.6.2.1 verification of qualifications and if applicable, publications – the Chair of the SAC must liaise with peers in the relevant disciplines to conduct a confidential review of the publications of each candidate on the shortlist;
- 14.6.2.2 criminal records;
- 14.6.2.3 identity document validation;

- 14.6.2.4 fraud; and
- 14.6.2.5 if applicable, a driver's license.
- 14.7 The candidates on the final shortlist each prepare a vision statement for the Faculty's future and how they envisage their role therein.
- 14.8 The SAC submits its final shortlist, in alphabetical order, with comments and motivation, accompanied by the candidates' vision statements and their curricula vitae, to the Faculty Board and simultaneously to the IF.
- 14.9 The candidates on the final shortlist present their vision to the Faculty Board and the IF at one meeting at which the Rector (or delegate) acts as chair, and answer questions from the Faculty Board and the IF.
- 14.10 The members of the Faculty Board and the IF are given the opportunity to indicate their preferred candidate (each person entitled to vote having one vote to indicate their preferred candidate) or to indicate whether they do not prefer any of the candidates with the aim of advising the SAC on the Faculty Board's and the IF's preferred candidate to be appointed as Dean of the faculty concerned.
- 14.11 A ballot-paper is used to indicate preference. The ballot paper is compiled as follows:

Names of candidates	Indicate with an "X" which candidate is your preferred candidate
Candidate 1	
Candidate 2	
Candidate 3	
None of the above	

- 14.12 The SAC convenes and considers the recommendations of the Faculty Board and the IF and makes a final decision on the appointment of a candidate on the basis of an absolute majority (50% + 1) of votes of the members of the SAC present and voting.
- 14.13 If, during the first round of voting no candidate receives an absolute majority of the votes cast, the candidate with the fewest votes is eliminated and a subsequent round of voting takes place.
- 14.14 The SAC may also decide not to appoint any of the candidates as its

preferred candidate. If no appointment is made, the appointment procedure is repeated at least one more time. If this again does not lead to the appointment of any candidate, an alternative process is determined by the SAC.

14.15 The SAC reports the final decision to Senate and Council via the Registrar's Office (Secretariat of Council).

## **15. Steps in the reappointment procedure**

15.1 The Rector initiates the process for the possible reappointment of a Faculty Dean for another term nine (9) months before the expiry of the term of office by approaching the incumbent Faculty Dean and enquiring whether they wish to continue for a second term.

15.2 If the serving Dean indicates that they are available and wishes to continue for a further term, they must submit the following documents to the Rector:

15.2.1 Reports with regard to achievements attained during their current term.

15.2.2 Feedback from direct reports and key stakeholders.

15.2.3 A vision statement for a possible second term.

15.2.4 An updated detailed curriculum vitae.

15.3 The Rector submits the abovementioned documentation to the Rectorate.

15.4 The Rector consults the Rectorate regarding the possible reappointment of the incumbent Faculty Dean.

15.5 After having consulted the possible reappointment of the incumbent Faculty Dean with the Rectorate, the Rector decides whether to support the possible reappointment or not.

15.6 If the Rector does not support the possible reappointment of the incumbent Faculty Dean, the Rector informs the incumbent Faculty Dean.

15.7 The incumbent Faculty Dean has the choice of continuing as an employee of the University in terms of the provisions of par. 13 or to compete for the position in terms of par. 14.

15.8 If the Rector supports the possible reappointment of the incumbent Faculty Dean the Rector conveys their position to the Faculty Board.

15.9 At a special meeting of the Faculty Board, chaired by the Rector, or delegate:

15.9.1 The Faculty Board votes on the reappointment of the serving Faculty Dean by means of a ballot, taking into account the job requirements

and the performance of the individual;

- 15.9.2 A ballot-paper as compiled below is used for voting at the Faculty Board meeting.

Name of incumbent	Indicate whether you support the appointment of the incumbent for a further term (indicate your choice by marking the appropriate box with an "X")	
	YES	NO

- 15.10 The Rector considers the recommendation of the Faculty Board and makes a final decision in consultation with the Rectorate.
- 15.11 HR communicates the outcome to Senate and Council.
- 15.12 In the event that the Rector decides not to appoint an incumbent Faculty Dean for a further term, the incumbent Faculty Dean has the choice of continuing as an employee of the University in terms of the provisions of par. 13 or to compete for the position in terms of par. 14.
- 15.13 If an incumbent Dean is available for reappointment for a third term, the reappointment must take place in terms of the procedure as described in par. 14.

## 16. Supporting documents

Item no.	Name of document	Status <i>(e.g. identified, in process or approved)</i>
	Statute	
	Framework for the appointment/reappointment of senior PASS Staff (Job Level 1 to 4)	
	Job description of a Faculty Dean	
	Delegations Framework	