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Regulations for the appointment and reappointment of a Faculty Dean

Reference number of this document	AP0069
HEMIS classification	
Aim	To provide regulations to Stellenbosch University (SU) for the appointment and reappointment of a Faculty Dean
Type of document	Regulations
Accessibility	General (external and internal)
Implementation date	1 April 2019
Review date/frequency	As the need for amendments arise
Previous reviews	New Regulations
Owner of these regulations	Vice-Rector: Social Impact, Transformation and Personnel
Institutional functionary (curator) responsible for these regulations	Chief Director: Human Resources
Date of approval	25 March 2019
Approved by	Council
Keywords	Regulations
<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 written in terms of and are subject to Section 34 of the Higher Education Act, No. 101 of 1997. The regulations and the procedures contained therein must be interpreted and implemented within the provisions of the Statute of Stellenbosch University, in the context of the University's Vision 2040 and the Strategic Framework 2019 – 2024, as well as the principles and points of departure in other policy documents (the Guidelines for the appointment and promotion of academic staff, the Guidelines for support services appointments and the Regulations for the appointment of a Faculty Dean) and shall at all times be subject to them.

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 functions on the basis of duly delegated responsibilities, authority and accountability by the Council, and, in terms of its core membership, is constituted in such a manner that appropriate levels of inclusivity and responsibility are ensured.
- 4.5 The SAC must reflect diversity in terms of race and gender.

- 4.6 Human Resources functions as the secretariat and will be the convenor of the SAC.
 - 4.7 The Chairperson of the SAC is the Rector (or delegate).
 - 4.8 The SAC reports the decision to Council via the Registrar's Office (Secretariat of Council).
 - 4.9 University structures that are consulted in the appointment process, vote on appointability and preference, which serves as advice to the authority for appointment.
 - 4.10 Senate delegates its responsibility in terms of the Higher Education Act and the Statute for the appointment of the dean of a faculty to the Faculty Board as a subcommittee of Senate (Delegations Framework).
 - 4.11 All members of the Faculty Board play an important part in the process in that they have the opportunity to recommend candidates on behalf of Senate and indicate appointability and preference with regard to the candidates on the final shortlist.
 - 4.12 The SAC votes and it will be regarded as a SAC decision. The successful candidate must secure a majority of the members of the SAC present and voting.
- 5. Term of appointment, conferment of an academic rank, and fall-back option**
- 5.1 The term of the appointment is not more than five years. The incumbent may be reappointment for one more consecutive term without having to apply again after which the incumbent may apply again.
 - 5.2 A Dean must be appointable 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.
 - 5.3 A fall-back option to an academic department is applicable for internal and external candidates.

- 5.4 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,
- 5.4.1 will be accommodated within the faculty concerned,
 - 5.4.2 the cost relating to the position will be carried by the faculty concerned and will not be devolved to the department, and
 - 5.4.3 the financing by the faculty will be phased in over a period of three years, with interim financing provided centrally.

6. Procedure

6.1 Council approves the establishment of a SAC of fourteen (14) members with the following composition:

- 6.1.1 Rector (or delegate) – Chairperson.
- 6.1.2 A member of Council appointed by Council.
- 6.1.3 One member from the Rectorate, on job level 2, appointed by the Rectorate.
- 6.1.4 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.
- 6.1.5 Two Members of Senate (from the academic members) appointed by the EC(S).
- 6.1.6 Four Faculty Board members, appointed by the Faculty Board of the faculty concerned.
- 6.1.7 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;
- 6.1.8 One member of the Institutional Forum (IF) appointed by the Executive Committee of the IF.
- 6.1.9 The Chief Director: Human Resources (non-voting member).
- 6.1.10 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.

All members of the SAC must declare any interests to ensure that the appointments process is fair and equitable and that it is carried out by an independent group of people.

6.2 Role of the SAC

6.2.1 General Principles and Procedures

- 6.2.1.1 The usual meeting procedures and rules apply at all meetings of the SAC.
- 6.2.1.2 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.
- 6.2.1.3 Two-thirds of the designated members of the SAC are required to constitute a quorum.
- 6.2.1.4 Minutes of the decisions of each meeting of the SAC must be kept and approved according to the usual procedures.
- 6.2.1.5 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.

6.2.2 The Role of the Chair

- 6.2.2.1 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.
- 6.2.2.2 The Chair must ensure that SAC members have declared any interests.
- 6.2.2.3 The Chair also ensures that the questions and discussions are fair and equitable to the candidates at all times.

- 6.2.2.4 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.
- 6.2.2.5 The SAC decides at the time of its convening on the procedures to be followed in drawing up the provisional and the final shortlists.
- 6.2.2.6 The Chief Director: HR will be responsible for ensuring an adequate preliminary shortlist.

6.2.3 Recruiting Candidates

- 6.2.3.1 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.
- 6.2.3.2 The Chief Director: HR will ensure that the SAC is presented with a suitable pool of candidates.

6.2.4 Report of the SAC

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

7. Steps in the recruitment and selection procedure

- 7.1 The SAC drafts and finalises an advertisement and specifies the 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 of the University. HR will provide the draft advertisement.

Note: 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.

- 7.2 HR advertises the post in the media and conducts strategic recruitment in order to broaden the pool of suitable candidates.
- 7.3 After the closing date for applications, the SAC, in the context of the Employment Equity Policy, draws up a provisional shortlist and conducts interviews with a view to arriving at a final shortlist of no fewer than three (3) candidates.
- 7.4 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:
 - 7.4.1 Request and obtain written reference reports.
 - 7.4.2 Background Information checks, including the following checks:
 - 7.4.2.1 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;
 - 7.4.2.2 criminal records;
 - 7.4.2.3 identity document validation;
 - 7.4.2.4 fraud; and
 - 7.4.2.5 if applicable, a driver's license.
- 7.5 If fewer than three (3) names of appointable candidates are submitted to the Faculty Board and IF, a thorough motivation must be included in the report.
- 7.6 The SAC can repeat the whole recruitment process once, if in the SAC's opinion, not enough suitable candidates were found.

- 7.7 The candidates on the final shortlist each prepare a vision statement for the Faculty's future and how they envisage their role therein.
- 7.8 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.
- 7.9 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.
- 7.10 The members of the Faculty Board and the IF vote on each candidate on the final shortlist, 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 SAC on the appointability of the candidates.
- 7.11 The members of the Faculty Board and the IF are also given the opportunity to indicate his/her preferred candidate (each person entitled to vote having one vote to indicate his/her preferred candidate) 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.
- 7.12 A ballot-paper is used to indicate appointability and preference. The ballot paper is compiled as follows:

Names of candidates	Indicate with a tick if a candidate is appointable		Indicate with a tick which one of the candidates is your preferred candidate
	YES	NO	

- 7.13 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 a majority of the members of the SAC present and voting.

- 7.14 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 SAC, in consultation with the Faculty Board and the IF, will determine an alternative procedure.
- 7.15 The SAC reports the final decision to Council via the Registrar's Office (Secretariat of Council).

8. Steps in the reappointment procedure

- 8.1 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 the Dean.
- 8.2 The Rector approaches the serving Faculty Dean and asks if he/she wants to continue for a second term.
- 8.3 If the serving Dean indicates that he/she is available for a further term, he/she must submit the following documents to the Rector:
- 8.3.1 Reports with regard to achievements attained during his/her current term.
 - 8.3.2 A vision statement for a possible second term.
 - 8.3.3 An updated detailed curriculum vitae.
- 8.4 The Rector initiates the reappointment at the Rectorate and recommends the reappointment to the Faculty Board.
- 8.5 At a special meeting of the Faculty Board, chaired by the Rector, or delegate:
- 8.5.1 The Faculty Board votes on the reappointment of the serving Dean by means of a ballot, taking into account the job requirements and the performance of the individual;
 - 8.5.2 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 ticking the appropriate box)	
	YES	NO

- 8.6 The Rector, as the chairperson of the SAC for the appointment of a Faculty Dean, considers the recommendation of the Faculty Board and makes a final decision. HR communicates the outcome to Senate and Council.
- 8.7 If the Rector, as the chairperson of the SAC for the appointment of a Faculty Dean, decides not to appoint a serving Dean for a further term, the serving Dean has the choice of continuing as an employee of the University in terms of the provisions of 5.4.
- 8.8 If a serving Dean is available for reappointment for a third term, the reappointment must take place in terms of the procedure as described in 7.

9. 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	