

UNIVERSITY OF PRETORIA
REGULATION AND PROCEDURE FOR THE
APPOINTMENT OF VICE-PRINCIPALS
(SCC 11/11)

1. INTRODUCTION

Paragraphs 12 and 13 of the Statute of the University of Pretoria provide as follows with regard to Vice-Principals:

"The Vice-Principals ... are responsible for assisting the Vice-Chancellor and Principal in the management and administration of the University and have the powers and duties conferred upon them by the Council, this Statute, the Institutional Rules and delegated to them by the Vice-Chancellor and Principal."

"The Vice-Principals ... are appointed in such a manner and for such periods as determined by the Council and the Institutional Rules."

2. APPOINTMENT PROCEDURE

The Regulation and Procedure as set out below is applicable to the advertising and filling of vacancies for Vice-Principals at the University of Pretoria. The question whether such vacancy is available for filling is established in accordance with the approved structure for the Executive as determined by the Vice-Chancellor and Principal in consultation with the Human Resources Committee of Council from time to time. The approved structure may include the designation of one of the Vice-Principals as Senior Vice-Principal.

2.1. Recruitment

2.1.1 Advertisement

2.1.1.1 When a vacancy arises for the post of Vice-Principal such vacancy shall be advertised as set out below.

2.1.1.2 The Vice-Chancellor and Principal shall determine the nature of the vacancy in consultation with the Human Resources Committee of Council.

2.1.1.3 The Director: Human Resources, acting on the instructions of the Human Resources Committee of Council, shall place an advertisement of the vacancy as agreed upon with the Vice-Chancellor and Principal externally in the national and international press. The vacancy is also advertised internally on the UP Website. In addition to the customary exposition of the duties and functions of the Vice-Principal and the requirements for appointment, the advertisement should also contain an exposition of the required documentation and a reference to the applicable appointment Regulation and Procedure.

2.1.1.4 Candidates should submit their applications to the Director: Human Resources by no later than 12:00 on the closing date stated in the

advertisement. Applications should be accompanied by (1) a full as well as (2) an abbreviated *curriculum vitae*, (3) a self-evaluation by the applicant of his/her suitability for appointment in the post, (4) the applicant's vision for the portfolio, as well as (5) the names and contact details of at least three referees (provided that the University reserves the right to appoint and consult its own referees and will inform applicants of this right). (6) Candidates should also indicate in writing that they accept the applicable appointment Regulation and Procedure.

2.1.2 Recruitment Agency

Besides internal and external advertising, a search campaign, which may include the use of external recruitment companies, can be undertaken under the direction of the Vice-Chancellor and Principal or a person designated by the Vice-Chancellor and Principal. Candidates thus recruited will have to submit their applications before 12:00 on the closing date stated in the advertisement.

2.2 Consideration

2.2.1 Initial consideration by the Joint Committee of Council: Short listing of candidates who are invited for interviews

2.2.1.1 A Joint Committee of Council, consisting of all the members of the Standing Committee of Council, all the members of the Human Resources Committee of Council who are not members of the Standing Committee of Council, and the members of Council appointed in terms of clause 2.2.1.2 below, and chaired by the Chairperson of the Standing Committee of Council, shall be constituted for the purposes as set out in clauses 2.2.1, 2.2.3 and 2.4 herein.

In the event that any member of Senate on the Joint Committee of Council is a candidate for the vacancy, the Chairperson of Council shall substitute such member with another Senate member who is a member of Council.

2.2.1.2 The Chairperson of Council may, in consultation with the Vice-Chancellor and Principal, the Chairperson of the Standing Committee of Council and the Chairperson of the Human Resources Committee of Council, nominate a maximum of two (2) further members of Council to serve on the Joint Committee referred to in clause 2.2.1.1 above.

2.2.1.2.1 Said nomination takes place with a view to filling a specific vacancy and ends with the consideration of the recommendation of the Joint Committee to Council by Council in terms of clause 2.2.4. The nomination of additional members of Council to serve on the Joint Committee takes place with due consideration of the competency requirements and skills that are required for the post and applicable expertise of members of Council.

2.2.1.3 A meeting of the Joint Committee of Council shall be convened as soon as possible after the closing date for applications, in accordance with the time frame for the appointment process approved by the Vice-Chancellor and Principal (see clause 3 below).

- 2.2.1.4 The Joint Committee of Council shall consider all the applications received by way of a paper selection.
- 2.2.1.5 The full *curriculum vitae*, self-evaluation of his/her suitability for appointment in the post, and his/her vision for the portfolio of each candidate who has applied for the position, shall be made available to the Joint Committee of Council.
- 2.2.1.6 The Joint Committee of Council shall compile a short list of possible candidates in accordance with the advertised requirements for appointment from the candidates who have applied with a view to inviting the short listed candidates for interviews.
- 2.2.1.7 The Joint Committee of Council is entitled (but not obliged) to request all candidates on the short list to submit themselves to competency assessment to be conducted by a qualified service provider operating in the employment field. The said service provider is to be appointed by the Vice-Chancellor and Principal. The report or other formal documentation of the assessment is confidential and will only be available to members of the Joint Committee of Council. All documentation in this regard must be destroyed after the appointment process is finalised.
- 2.2.1.8 Should the Joint Committee of Council be of the opinion that none of the applicants should be short listed in accordance with the advertised requirements for appointment:
- 2.2.1.8.1 the appointment process shall commence *de novo* as soon as practicable, while appropriate transitional measures shall, in accordance with the circumstances, be instituted pending the finalisation of the process; or
- 2.2.1.8.2 the Joint Committee of Council shall make a recommendation to Council on an appropriate alternative process to proceed with the appointment.
- 2.2.1.9 The full *curriculum vitae*, self-evaluation and vision for the portfolio of each candidate on the short list is placed on the Intranet of the University and is accessible to members of Council, Senate, the Institutional Forum, staff and students.
- 2.2.2 Consideration by the Institutional Forum and Senate: Pronouncement on the suitability for appointment of candidates on the short list.
- 2.2.2.1 The full *curriculum vitae*, self-evaluation and vision for the portfolio of each candidate on the short list shall be made available to members of Senate and the Institutional Forum.
- 2.2.2.2 Both Senate and the Institutional Forum shall make a pronouncement, in accordance with the advertised requirements for appointment, on the suitability for appointment of each candidate on the short list at a meeting of the relevant body.
- 2.2.2.3 A candidate shall be deemed to be suitable for appointment by the relevant body if 50% plus 1 (one) of the members present at the meeting vote in favour of a specific candidate's suitability.

- 2.2.2.4 Voting shall be conducted by means of a closed ballot under the supervision of the Registrar. In the event that the Registrar is a candidate for the vacancy, the Chairperson appoints an official of the University to tally the votes. Prior arrangements may be made for the University's external auditors to supervise the voting process should the Registrar or official appointed to tally the votes deem this to be necessary.
- 2.2.2.5 The results of the voting conducted in Senate and the Institutional Forum shall be communicated to Senate and the Institutional Forum respectively, and be made available to the Joint Committee of Council and Council, with the inclusion of the number of votes each candidate obtained. The results may only be announced after the meetings of both Senate and the Institutional Forum have taken place.
- 2.2.3 Second consideration by the Joint Committee of Council: Interviews with candidates short listed by the Joint Committee of Council
- 2.2.3.1 A meeting of the Joint Committee of Council shall be convened as soon as possible after the voting by the Senate and the Institutional Forum referred to in clause 2.2.2, in accordance with the time frame for the appointment process approved by the Vice-Chancellor and Principal. The Joint Committee of Council shall at this meeting conduct interviews with all the candidates short listed in accordance with clause 2.2.1.6 above.
- 2.2.3.2 In addition to the interview, the Joint Committee of Council shall consider the full *curriculum vitae*, self-evaluation of his/her suitability for appointment in the post, vision for the portfolio and the referee reports in respect of each candidate on the short list, as well as the results of the voting by Senate and the Institutional Forum and the report of the qualified service provider (if applicable) referred to in clause 2.2.1.7 above.
- 2.2.3.3 After the interviews have been concluded the Joint Committee of Council shall consider the recommendation of the Vice-Chancellor and Principal in regard to the suitability for appointment of the short listed candidates, and shall make a substantiated recommendation to Council regarding the suitability for appointment of the short listed candidates.
- 2.2.3.4 The members of the Joint Committee of Council shall cast their votes by way of closed ballot. Should the Joint Committee of Council be of the opinion that more than one candidate is appointable in accordance with the advertised requirements, the candidates may be rated in order of preference from preference 1 onward. If the votes are tied between two candidates, the Chairperson shall in all instances cast the deciding vote. After voting, the Chairperson of the Joint Committee of Council shall announce the results of the ballot to the Joint Committee of Council.
- 2.2.4 Consideration by Council
- 2.2.4.1 With a view to swift finalisation of the matter, an extraordinary meeting of Council shall be convened, in accordance with the time frame for the appointment process approved by the Vice-Chancellor and Principal, for Council to decide on the appointment of the Vice-Principal if the matter cannot be finalised timeously during a normal Council meeting.
- 2.2.4.2 Council shall at this meeting:

- 2.2.4.2.1 take note of the results of the voting at Senate and the Institutional Forum on the suitability for appointment of the candidates on the short list;
- 2.2.4.2.2 take note of all information that was at the disposal of the Joint Committee of Council when interviewing the candidates on the short list (the Chair of the Joint Committee of Council shall give feedback on the competency assessment referred to in clause 2.2.1.7 above in the appropriate manner if applicable);
- 2.2.4.2.3 if requested to do so, take note of a written recommendation from the Vice-Chancellor and Principal regarding the appointment;
- 2.2.4.2.4 take note of the minutes of the meeting of the Joint Committee of Council at which the candidates on the short list were considered and interviewed;
- 2.2.4.2.5 take note of the recommendation of the Joint Committee of Council with regard to:
- 2.2.4.2.5.1 an appropriate alternative process to proceed with the appointment where the Joint Committee of Council was of the opinion that none of the applicants and nominees should be short listed in accordance with the advertised requirements for appointment; or
- 2.2.4.2.5.2 the appointment of a candidate and the order of preference, if applicable, in which the candidates were listed by the Joint Committee of Council after interviewing the candidates on the short list;
- 2.2.4.2.6 after considering the recommendations and relevant documents, decide to:
- proceed with the alternative process referred to in clause 2.2.4.2.5.1; or
 - make an offer of appointment to only one of the candidates on the short list; or
 - make an offer of appointment to more than one of the candidates on the short list in a particular order of preference; or
 - not make an appointment. In this instance Council may decide to commence with the appointment process as set out in clause 2 herein *de novo* as soon as practicable, or to proceed with an appointment by means of an appropriate alternative process, while appropriate transitional measures should, in accordance with the circumstances, be instituted pending the finalisation of the process.
- 2.2.4.3 The position of Vice-Principal shall be offered to a candidate who enjoys the support of an absolute majority of Council members present at the meeting. In the event that Council decides to make an offer of appointment to more than one of the candidates on the short list in a particular order of preference, the voting procedure set out in clause 2.2.4.4 below shall apply *mutatis mutandis* to each candidate Council considers appointable.

- 2.2.4.4 In the event that no candidate enjoys the support of an absolute majority of the Council members who are present at the meeting during a first or subsequent round of voting, the candidate with the least number of votes in a specific round is eliminated. Where there is a tie between more than two candidates for the least number of votes, Council votes in a separate round on which of the candidates proceeds to the next round. Only the candidate with a simple majority of the votes cast goes through to the next round. The process is repeated until one candidate enjoys the support of an absolute majority of the Council members present; provided that where only one candidate remains and is unable to obtain an absolute majority of the votes of the Council members present, no appointment shall be made and the provisions set out in clause 2.2.4.2.6 above (fourth bullet) shall apply.
- 2.2.4.5 If the votes are tied between two candidates the Chairperson shall in all instances cast the deciding vote.
- 2.2.4.6 Voting takes place by way of closed ballot and under the supervision of the Registrar. In the event that the Registrar is a candidate for the vacancy the Chairperson appoints an official of the University to tally the votes. Prior arrangements may be made for the University's external auditors to supervise the voting process should the Registrar or official appointed to tally the votes deem this to be necessary.
- 2.2.4.7 Where none of the preferred candidates accepts the offer of appointment, no appointment shall be made and the provisions set out in clause 2.2.4.2.6 above (fourth bullet) shall apply.
- 2.2.4.8 The Vice-Chancellor and Principal, in consultation with the Human Resources Committee of Council, determines the term of office, the conditions of service, competencies, duties and functions and, subject to recommendation by the appropriate Senate Committee (the faculty Recruitment and Selection Committee) and the approval of the Senior Appointments Committee of Council (Academic), the academic status and title of the candidate who has been appointed as Vice-Principal, and the faculty and department concerned.
- 2.2.4.9 Should an internal candidate with a permanent appointment at the University be appointed as a Vice-Principal, the candidate shall retain his or her permanent appointment, and be entitled to return to the post in question, or an equivalent post, after expiry of his or her term(s) of appointment as Vice-Principal, unless otherwise agreed with the Vice-Chancellor and Principal.
- 2.2.4.10 An external candidate appointed as Vice-Principal can elect to be simultaneously appointed in a suitable permanent academic post at the University by the Senior Appointments Committee of Council (Academic) in terms of applicable policy. In such a case, the provisions of clause 2.2.4.9 above apply *mutatis mutandis*.
- 2.3 Participation of applicants in proceedings
- 2.3.1 With regard to proceedings at which candidates are discussed and/or voted for in accordance with this procedure, a candidate who is a member of Senate and/or Council and/or the Human Resources Committee of Council and/or the Institutional Forum, should recuse himself or herself from such proceedings of the relevant body.

- 2.3.2 In the event that a candidate represents an interest group on Senate or the Institutional Forum, such interest group shall be entitled to appoint a substitute.
- 2.4 Re-appointment procedure for a further term
- 2.4.1 Paragraph 13 of the Statute provides as follows with regard to Vice-Principals:
- “The Vice-Principals ... are appointed in such a manner and for such periods as determined by the Council and the Institutional Rules.”
- 2.4.2 The following procedure shall apply in respect of re-appointment of a Vice-Principal for a further term after expiry of his/her term of office.
- 2.4.3 At least six months before the expiry of the term of office of a serving Vice-Principal, and where he/she has indicated that he/she would be available for a further term, the Joint Committee of Council shall consider the possibility of re-appointing said Vice-Principal for a second successive term.
- 2.4.4 The contents of the following documents shall be borne in mind when re-appointment is considered:
- 2.4.4.1 a self-appraisal by the serving Vice-Principal in respect of his/her expired term;
- 2.4.4.2 the serving Vice-Principal's vision for a possible further term;
- 2.4.4.3 a report prepared by the Vice-Chancellor and Principal in accordance with appropriate assessment criteria, including the University's performance indicators and the agreed-upon personal performance outputs of the serving Vice-Principal during the expired term.
- 2.4.5 After considering the documentation referred to in clause 2.4.4, the Joint Committee of Council shall decide either:
- 2.4.5.1 to continue with the reappointment process as set out in clauses 2.4.7 – 2.4.14 below; or
- 2.4.5.2 to advertise the position of Vice-Principal. In such an instance, the serving Vice-Principal will be entitled to apply for the position.
- 2.4.6 Where the Joint Committee decides to recommend to Council that the position be advertised as envisaged in clause 2.4.5.2, the recommendation and the documentation referred to in clause 2.4.4 shall be submitted to Council at the first possible opportunity. Should Council not approve the recommendation to advertise, the matter is referred back to the Joint Committee to proceed in accordance with clause 2.4.5.1.
- 2.4.7 The Joint Committee of Council shall consult with Senate and the Institutional Forum regarding the reappointment of the serving Vice-Principal after the expiry of his/her term of office, and may undertake any other consultation process it deems appropriate.

- 2.4.8 For the purpose of consultation with Senate and the Institutional Forum, the serving Vice-Principal's self-appraisal, vision and *curriculum vitae* shall be made available to members, and both groupings shall make a pronouncement by way of voting as to whether reappointment should take place or not.
- 2.4.9 Voting shall be conducted by means of a closed ballot under the supervision of the Registrar. In the event that the Registrar is a candidate for the vacancy the Chairperson appoints an official of the University to tally the votes. Prior arrangements may be made for the University's external auditors to supervise the voting process should the Registrar or official appointed to tally the votes deem this to be necessary.
- 2.4.10 The results of the voting conducted in Senate and the Institutional Forum shall be communicated to Senate and the Institutional Forum respectively, and be made available to the Joint Committee of Council and Council. The results may only be announced after the meetings of both Senate and the Institutional Forum have taken place.
- 2.4.11 In all instances of possible reappointment the Joint Committee of Council is entitled, but not obliged to, conduct an interview with the serving Vice-Principal.
- 2.4.12 With due consideration of (i) the results of the consultation with Senate and the Institutional Forum or any other appropriate consultation process, (ii) the documents referred to in clause 2.4.4 above, and (iii) the interview with the incumbent, where applicable, the Joint Committee of Council shall vote by way of closed ballot whether to recommend to Council that the serving Vice-Principal be re-appointed or not. Where the votes are tied, the Chairperson shall cast the deciding vote. The recommendation submitted to Council shall be fully substantiated.
- 2.4.13 Council shall consider the recommendation of the Joint Committee of Council and may decide, after voting by way of closed ballot, either to reappoint the serving Vice-Principal for a further term as determined by the Vice-Chancellor and Principal, in consultation with the Human Resources Committee of Council, or not. Voting takes place in accordance with clause 2.4.9 above. Where the votes are tied, the Chairperson shall cast the deciding vote.
- 2.4.14 In the event that Council decides not to reappoint the serving Vice-Principal for a further term, the procedure as set out in clauses 2.1 - 2.3 above comes into effect and appropriate transitional measures shall, in accordance with the circumstances, be instituted pending the finalisation of the process.

3 TIME FRAME

The Director: Human Resources shall be responsible for setting a time frame with a view to the implementation and finalisation of the appointment process for approval by the Vice-Chancellor and Principal.