

TO: Senate

FROM Joy Johnson

Chair – Senate Committee on Agenda and Rules (SCAR)

DATE: January 26, 2024

SUBJECT: Proposed Policy R70.01 - SFU Excellence in Research Awards

SCAR has reviewed S.24-16 (Proposed Policy R70.01 - SFU Excellence in Research Awards) and is forwarding it to Senate for approval.

Motion:

"That Senate approve and recommend to the Board of Governors Proposed Policy R70.01 - SFU Excellence in Research Awards."



MEMORANDUM

ATTENTION Senate DATE January 15, 2024

FROM Dugan O'Neil PAGES 1

Vice President, Research & International

RE: Proposed policy R70.01, SFU Excellence in Research Awards

The attached revised proposed Policy R70.01 is being submitted for approval.

It was first discussed at Senate on November 6, 2023, after the public consultation period. After the discussion on the Senate floor, and taking into account comments received from Senator Lysova and others, the policy and related documents have been updated. In particular, the treatment of both academic freedom and equity considerations in the documents have been standardized to refer to other official SFU policies and agreements. All those who submitted feedback have now received a personal response.

This policy is being introduced to establish a formal mechanism for university-wide recognition of research excellence, identified as a priority by the President's Advisory Committee on Awards, Honours and Prizes. Such awards are a hallmark of leading research institutions across Canada. They will complement the SFU Excellence in Teaching Awards (A32.01) and may build a pool of candidates for nomination for prestigious external research awards.

Before the first appearance at Senate, the draft policy and its associated documents were refined after input from key stakeholders including Deans' Council, Chairs and Directors, SFUFA, and feedback from the community consultation which closed on Sep 12, 2023. Comments were largely in support of the initiative.

cc: Melanie Monk, Associate Director, ISA: Responsible Authority



SFU RESEARCH EXCELLENCE AWARDS POLICY

DateNumber[date]R 70.01

Date of LastMandatedReview/RevisionReview[date][date]

Policy Authority: Vice-President, Research & International

Associated Procedure(s): SFU Research Excellence Awards Procedure

Appendix A: SFU Research Excellence Awards Definitions

Appendix B: SFU Research Excellence Awards Advisory Committee

Terms of Reference

EXECUTIVE SUMMARY

This policy establishes the SFU Research Excellence Awards program to recognize and celebrate SFU researchers for Research Excellence and provide a pathway to prestigious national and international research award nominations. This policy and related procedures also establish the SFU Research Excellence Awards Advisory Committee to issue the annual Call for Nominations including award categories and selection criteria, review candidate submissions, and make recommendations for awardees to the Vice-President, Research and International.

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1.0 **PURPOSE**

1.1 The purpose of this policy is to establish the SFU Research Excellence Awards program ("the Awards") and the SFU Research Excellence Awards Committee (the "Advisory Committee").

2.0 SCOPE AND JURISDICTION

- 2.1 These Awards are intended to recognize and reward Research Faculty Members of any rank for Research Excellence. In the case of a team award, while non-faculty members of a research team may be named in the award citation, the research grant will be awarded in the name of the lead faculty member.
- 2.2 This policy applies to all institutional-level awards recognizing Research Excellence at SFU. It does not apply to awards conferred by individual Faculties, departments and units.

3.0 **DEFINITIONS**

3.1 Please see <u>Appendix A: SFU Research Excellence Awards Definitions</u> for the definitions of words used in this policy and its associated procedure.

4.0 POLICY

- 4.1 The purpose of these Awards is to establish a university-wide formal mechanism to recognize Research Excellence and may provide a pathway to nomination for external research awards.
- 4.2 The Awards will be offered annually. In any given competition year, the number of awards granted by the VPRI may vary depending on the submissions received and the budget available.
- 4.3 The Awards may recognize research excellence at different career stages and areas of expertise as defined in the award categories that will be set by the Advisory Committee in its annual Call for Nominations.
- 4.4 The VPRI shall establish the Advisory Committee as set out in <u>Appendix B: SFU Research Excellence Awards Advisory Committee Terms of Reference.</u>

5.0 ROLES AND RESPONSIBILITIES

- 5.1 The VPRI has the authority to:
 - 5.1.1 Establish, grant, and administer the Awards according to University policy and make any changes they deem necessary; and
 - 5.1.2 Establish and modify the Advisory Committee's responsibilities and powers as set out in Appendix B: SFU Research Excellence Awards Advisory Committee Terms of Reference.
- 5.2 The Advisory Committee has the authority to:
 - 5.2.1 Adjudicate the Awards and advance recommendations of Awardees to the Vice-President, Research and International ("the VPRI"); and
 - 5.2.2 Regularly review and recommend changes to the Procedure and Call for Nominations.

6.0 RELATED LEGAL, POLICY AUTHORITIES AND AGREEMENTS

- 6.1 The legal and other University Policy authorities and agreements that may bear on the administration of this policy and may be consulted as needed include but are not limited to:
 - 6.1.1 *University Act*, RSBC 1996, c 468
 - 6.1.2 Freedom of Information and Protection of Privacy Act, RSBC 1996, c 16

7.0 ACCESS TO INFORMATION AND PROTECTION OF PRIVACY

7.1 The information and records made and received to administer this policy are subject to the access to information and protection of privacy provisions of British Columbia's *Freedom of Information and Protection of Privacy Act* and the University's Information Policy series.

8.0 RETENTION AND DISPOSAL OF RECORDS

8.1 Information and records made and received to administer this policy are evidence of the University's actions to recognize and award Research Excellence. Information and records must be retained and disposed of in accordance with a records retention schedule approved by the University Archivist.

9.0 POLICY REVIEW

9.1 This policy must be reviewed every three years and may always be reviewed as needed.

10.0 POLICY AUTHORITY

10.1 This policy is administered under the authority of the VPRI.

11.0 INTERPRETATION

11.1 Questions of interpretation or application of this policy or its procedures shall be referred to the VPRI whose decision shall be final.

12.0 PROCEDURES AND OTHER ASSOCIATED DOCUMENTS

- 12.1 The procedures for this policy are: <u>SFU Research Excellence Awards Procedure</u>.
- 12.2 <u>Appendix A: SFU Research Excellence Awards Definitions</u> contains the definitions and criteria applicable to this policy and its associated procedures.
- 12.3 <u>Appendix B: SFU Research Excellence Awards Advisory Committee Terms of Reference</u> sets out the Advisory Committee's appointment process, membership, meetings and quorum, and roles and responsibilities.



SFU RESEARCH EXCELLENCE AWARDS PROCEDURE

DateNumber[date]R 70.01

Date of LastMandatedReview/RevisionReview[date][date]

Policy Authority: Vice-President, Research & International

Parent Policy: SFU Research Excellence Awards Policy R 70.01

1.0 PURPOSE

1.1 These procedures set out the nomination and selection process, general eligibility requirements and selection criteria, and conditions of the SFU Research Excellence Awards under Policy R 70.01.

2.0 **DEFINITIONS**

2.1 See <u>Appendix A</u> (the "Definitions") to the <u>SFU Research Excellence Awards Policy R 70.01</u> ("the Policy") for definitions of words used in the Policy and in these procedures.

3.0 PROCEDURE

Awards

- 3.1 The Award categories and number of awards to be conferred each year will be set out in the Call for Nominations, initiated annually by the Vice President, Research & International ("the VPRI") with input from the SFU Research Excellence Awards Advisory Committee ("the Advisory Committee").
- 3.2 Awards may be conferred to recognize research excellence at different career stages and areas of expertise as defined by the Advisory Committee in its annual Call for Nominations.
- 3.3 Each Award is valued at \$5,000 to the individual or team, which the recipient can choose to accept either a monetary award or a research grant.
- 3.4 The Advisory Committee reserves the right to recommend a Nominee for an Award in a category other than they were nominated.

Eligibility

- 3.5 All Nominees must be research faculty members and have carried out the majority of the work being nominated while at SFU.
- 3.6 Additional eligibility requirements for specific award categories may be set out in the annual Call for Nominations. In all cases, eligibility may be extended for significant career disruptions listed in the Nominee's *curriculum vitae*.
- 3.7 An individual can only be nominated or receive an Award for one category per year, in which they have not previously won (unless they are also part of a nominated team).
- 3.8 If a member of the Advisory Committee is nominated for an Award, they must recuse themselves from participation in the decision-making on that specific Award.
- 3.9 A Nominator may resubmit a nomination for a specific Nominee as many times as desired. However, a new nomination package is required for any subsequent nomination.

Nomination process

- 3.10 The nomination period will open each year with a Call for Nominations issued by the VPRI.
- 3.11 The nomination period shall be no less than four weeks.
- 3.12 The nomination timeline and specific award categories and eligibility will be set out in the annual Call for Nominations.
- 3.13 Nominations may be made by SFU Deans, Associate Deans, Chairs and Directors, and faculty colleagues. Self-nominations are not permitted.
- 3.14 The nomination requirements will be set out in the annual Call for Nominations at the discretion of the Advisory Committee, but is normally comprised of:
 - 3.14.1 A nomination form;
 - 3.14.2 A nomination letter addressing the criteria for the specific award as set out in the Call for Nominations:
 - 3.14.3 A CV including most significant contributions, key presentations, major awards/honours, grants, service, supervision and mentorship.
- 3.15 After the nomination period closes, the Advisory Committee will review submissions for recommendation to the VPRI, who approves Award recipients.

Selection criteria

- 3.16 These Awards recognize Research Excellence as defined in Appendix A: Definitions.
- 3.17 The selection criteria for specific award categories will be set out in the annual Call for Nominations.
- 3.18 The principles of academic freedom will be upheld in the evaluation of nominees and selection of awardees, in accordance with the SFU/SFUFA Collective Agreement and as set out in Appendix B: Committee Terms of Reference.
- 3.19 Equity considerations will be upheld in the evaluation of nominees and selection of awardees, in accordance with the SFU/SFUFA Collective Agreement and as described in SFU policy GP19.

Conditions of Award

- 3.20 The Awardee will participate in the SFU Awards ceremony, and any promotional activities associated with the Award.
- 3.21 The research prize must be used to support the Awardee's research activities.
- 3.22 In the case of a team award, the Awardee (lead faculty member) will receive the research prize, which will be of the same value as an individual Award. The funds are expected to be directed to research activities that support the entire team.
- 3.23 The Award is non-transferable.
- 3.24 The decision of the VPRI is final and cannot be appealed after an award has been issued.



APPENDIX A: SFU RESEARCH EXCELLENCE AWARDS DEFINITIONS

DateNumber[date]R 70.01

Date of LastMandatedReview/RevisionReview[date][date]

Policy Authority: Vice-President, Research & International

Parent Policy: <u>SFU Research Excellence Awards Policy R 70.01</u>

1.0 PURPOSE

1.1 The definitions in this Appendix define the words used in the <u>SFU Research Excellence Awards</u> Policy R 70.01 and the SFU Research Excellence Awards Procedure.

2.0 **DEFINITIONS**

- 2.1 **Advisory Committee** means the SFU Research Excellence Awards Advisory Committee.
- 2.2 **Award(s)** means the SFU Research Excellence Awards.
- 2.3 **Awardee(s)** means an individual or team on whom an award is conferred.
- 2.4 **Nominee(s)** means the individual or team advanced to the VPRI for adjudication by the SFU Research Excellence Awards Advisory Committee.
- 2.5 Research Excellence within the context of these Awards encompasses a broad spectrum of research and other scholarly work that demonstrates exceptional expertise, leadership and integrity. The cumulative effects of these activities, outcomes, and impacts have the potential to contribute to one or more disciplines, foster collaboration, enhance research capacity, promote public understanding, benefit communities and/or drive positive change within and beyond academia.
- 2.6 **Research Faculty Members** are faculty members whose duties include the performance of independent research, as described in the SFUFA Collective Agreement.
- 2.7 **SFU** or **University** means Simon Fraser University.
- 2.8 **VPRI** means Vice-President, Research and International.



APPENDIX B SFU EXCELLENCE AWARDS ADVISORY COMMITTEE TERMS OF REFERENCE

DateNumber[date]R 70.01

Date of LastMandatedReview/RevisionReview[date][date]

Policy Authority: Vice-President, Research & International

Parent Policy: <u>SFU Research Excellence Awards Policy R 70.01</u>

1.0 PURPOSE

1.1 This Appendix sets out the appointment process, membership, meetings and quorum, and roles and responsibilities of the SFU Research Excellence Awards Advisory Committee ("the Advisory Committee") established by the Vice-President, Research and International ("the VPRI") as authorized under section 4.4 of the SFU Research Excellence Awards Policy R 70.01.

2.0 APPOINTMENT PROCESS

- 2.1 The VPRI will appoint Advisory Committee members for up to three-year terms (normally renewable once).
- 2.2 A Vice-Chair will be selected by the Advisory Committee members and will normally rotate after one year. The Vice-Chair retains their voting privileges while serving in this role.
- 2.3 In no case shall a Vice-Chair or member serve more than two consecutive terms.

3.0 MEMBERSHIP

- 3.1 The Advisory Committee will be composed of members drawn from the following groups to ensure a mix of perspectives and expertise:
 - 3.1.1 The VPRI or designate (Chair, non-voting member);
 - 3.1.2 One active member of the President's Committee for Awards, Honours, and Prizes, appointed by the VPRI (voting member);
 - 3.1.3 Two former recipients of the Award from the previous competition, appointed by the VPRI (voting members);

- 3.1.4 One academic representative from each Faculty, appointed by the Dean (voting members); and
- 3.1.5 Associate Director, Researcher Excellence and Recognition (Secretary).
- 3.2 The Chair and Vice-Chair may elect to appoint additional ad-hoc (voting or non-voting) members with specialized expertise.

4.0 MEETINGS AND QUORUM

- 4.1 The quorum shall be a majority of the members.
- 4.2 The Advisory Committee will meet at least twice annually, once to review the Procedure and Call for Nominations and determine if changes are necessary, and again to review the nominations submitted.
- 4.3 Meetings will be scheduled at times and locations convenient and accessible for all members.
- 4.4 Decisions to recommend or not recommend a nominee will be by consensus.

5.0 ROLES AND RESPONSIBILITIES

- 5.1 The Committee Chair and Vice-Chair are responsible for:
 - 5.1.1.1 facilitating meetings to ensure the Procedure is followed;
 - 5.1.1.2 soliciting recommendations from Advisory Committee members; and
 - 5.1.1.3 communicating decisions to nominees.
- 5.2 The Committee Secretary is responsible for:
 - 5.2.1.1 scheduling meetings, preparing agendas, assigning a member to present each file, distributing meeting materials, and documenting the reasons for every decision;
 - 5.2.1.2 arranging transfer of research prizes to awardees; and
 - 5.2.1.3 providing award citations to SFU communicators for promotional purposes.
- 5.3 The Advisory Committee members are responsible for:
 - 5.3.1.1 preparing for meetings by reviewing all nominations and presenting assigned files;
 - 5.3.1.2 participating in open and transparent discussion to reach consensus on the recommendation of awardees;
 - 5.3.1.3 raising any concerns to the Chair relating to the Awards and associated processes;
 - 5.3.1.4 upholding the principles of academic freedom in the evaluation of nominees and selection of awardees, in accordance with the SFU/SFUFA Collective Agreement; and
 - 5.3.1.5 respecting employment equity in the evaluation of nominees and selection of awardees in accordance with the SFU/SFUFA Collective Agreement and as described in SFU policy GP19.