



SIMON FRASER UNIVERSITY
ENGAGING THE WORLD

TO: Senate

FROM Joy Johnson
Chair – Senate Committee on Agenda and Rules (SCAR)

DATE: October 27, 2023

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

SCAR has reviewed S.23-122 (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.”

EXECUTIVE TEAM MEETING – CONSENT ITEM BRIEFING NOTE

SUBJECT	Proposed SFU Research Excellence Awards Policy R70.01
DATE	October 11, 2023
EXEC TEAM SPONSOR	Dugan O’Neil, Vice-President, Research and International (Policy Authority)
UNIT/DEPARTMENT	Institutional Strategic Awards
PREPARED BY	Melanie Monk, Associate Director, Researcher Excellence and Recognition (Responsible Authority)
TO BE SHARED WITH DEANS AFTER ET MEETING?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

TOPIC

- Post-consultation debrief on SFU Research Excellence Awards Policy R70.01.

BACKGROUND

1. Oct 2021: Members of the President’s Advisory Committee on Awards, Honours, and Prizes (PACAHP) raised to the VPRI a pressing need for these awards to align with most other universities in Canada that offer similar recognition and with SFU’s Excellence in Teaching Awards established under Policy A32.01.
2. Mar 2022: The policy and associated documents were drafted by the Responsible Authority following an environmental scan of similar awards at 17 Canadian universities and an extensive review of literature relating to advancing equity, diversity, and inclusion (EDI) in research and teaching awards.
3. Apr – May 2022: Drafts were shared and discussed with the Director of University Policies and the Associate VP Teaching and Learning (Responsible Authority for the Excellence in Teaching Awards). Minor refinements were made to the drafts following these discussions.
4. May 2022: The draft SFU Research Excellence Awards Policy R70.01 received preliminary approval from the Executive to proceed with stakeholder and community consultation.
5. Sep 2022-Apr 2023: Stakeholder consultations were carried out by the Responsible Authority and included the following groups:
 - Deans’ Council: Sep 7, 2022
 - Associate Deans, Research: Jan 15. 2023
 - Chairs & Directors: Feb 23, 2023
 - Select Research Grants Facilitators (2): Mar 2023
 - EDI Director, Strategic Initiatives: May 2023
 - SFUFA: July 2023 (discussed at SFUFA meeting, to which Policy Authority and Responsible Authority were not invited to attend)
 - The EDI Director, Faculty Support and Director, Office of Aboriginal Peoples did not respond to requests for feedback.
6. Aug 28, 2023: Consultation message (attached) sent to sfu-faculty-staff.
7. Sep 12, 2023: Consultation period closed.

8. Oct 4, 2023: Meeting of Policy Authority and Responsible Authority to discuss community input.

CONSIDERATIONS

1. As this is a new Policy, the ET needs the opportunity to provide additional feedback prior to submission to SCAR.
2. The proposed SFU Research Excellence Awards complement the SFU Teaching Excellence Awards to highlight excellence and leadership.
3. Awards, prizes, and fellowships inspire researchers to rise to the standards of SFU's vision as a leading research university and hold reputational value. They help create an "inclusive, supporting and affirming community" by championing members who "develop and share knowledge and make a difference in the world" (SFU's What Next Strategy, 2023).

RISKS

The following are some potential risks of awards and prizes, which can be mitigated through effective design:

1. Failing to generate engagement by the SFU research community.
2. Excluding certain groups from the nominee or awardee pool.
3. Failing to effectively communicate the results.

CHANGE MANAGEMENT STRATEGY

1. Not applicable

NEXT STEPS

1. Following University Executive approval, submit the final version of the proposed new policy to the Senate Assistant for submission to SCAR.

ATTACHMENTS

- Consultation Message
- Summary of Community Feedback
- Revised Draft SFU Research Excellence Awards Policy R70.01
- Revised Draft SFU Research Excellence Awards Procedure
- Revised Draft SFU Research Excellence Awards Definitions
- Revised Draft SFU Research Excellence Awards Committee Terms of Reference

****two page maximum length***

Community Consultation: R 70.01 SFU Research Excellence Awards Policy

Office of the General Counsel <gc_asst@sfu.ca>

Mon 28-Aug-23 9:24 AM

community consult

To:sfu-faculty-staff@sfu.ca <sfu-faculty-staff@sfu.ca>;

The following message is sent on behalf of Dugan O'Neil, Vice-President, Research and International.

Dear University Faculty and Staff,

SFU promotes the research excellence of its faculty members through both Faculty-level awards and pursuing external accolades. To supplement these efforts, we are excited to introduce a new, formal mechanism for university-wide recognition – the SFU Research Excellence Awards. Such awards are a hallmark of leading research institutions across Canada.

The primary objective of the SFU Research Excellence Awards is to celebrate the exceptional contributions of our research faculty. In doing so, we aim to highlight their contributions within the SFU community and position them favourably for prestigious national and international research awards.

The draft Policy and associated documents were carefully crafted to align with the SFU Excellence in Teaching Awards and SFU's commitment to Equity, Diversity, and Inclusion (EDI). Over the past year, we have invited input from key stakeholders, including Deans, Associate Deans, Research, Chairs and Directors, SFUFA, the EDI office, and more. Their feedback was instrumental in refining these documents.

As we approach the final phase of establishing this policy to launch the inaugural Call for Nominations and form the advisory committee, we are eager to hear from you. We invite you to read the proposed policy and associated documents posted [here](#). Please take a moment to provide your input to Melanie Monk, Associate Director of Researcher Excellence and Recognition, at awards@sfu.ca by September 12, 2023. Your perspectives as faculty, staff, and students are crucial to ensuring these awards achieve their objective. Thank you for your participation.

Input you provide is collected under the authority of the University Act and SFU Policy on University Policies and Procedures (B10.00). This information is collected for the purpose of engaging in community consultation, which may result in recommended changes to a policy.

Only the Office of the Vice-President, Research and International will have access to identifying information of individuals providing feedback and will keep this information strictly confidential unless disclosure is required to comply with university policy or applicable law (for example, disclosure to appropriate university units may be required to maintain a safe working and learning environment). Any summaries of the feedback received that are shared publicly will have all identifying information removed.

If you have any questions about the collection of this information, please contact Melanie Monk at awards@sfu.ca.

SUMMARY OF COMMUNITY FEEDBACK RE: R70.01

- Letter, Academic Freedom Group
- Email, SFU Registrar
- Emails, 3 SFU faculty members (identified as A, B, and C below)
- Email, Adam James, Director, Faculty Labour Relations on behalf of SFUFA

Received from	Document, Item	Input received	Action taken
SFU Registrar	Policy, 2.1	Policy section 2.0 for non-faculty members who are part of a team. This implies that the award is financial only, it should be made clear if the non-faculty members are able to receive the recognition (i.e., they received the award as part of a team)."	Change made. See Policy, 2.1
SFU Registrar	Policy, 2.1	"I think you should either define research faculty member. As this may imply a class of faculty members or consider changing the wording to faculty members who conduct research.	Change made. Definition of research faculty inserted into Appendix A. Definition refers to job category defined in SFUFA collective agreement.
Faculty member B	Policy, 2.1	"Currently the award is only open to research faculty members; however, we have faculty members from all ranks conducting ground-breaking research in their disciplines. We would suggest that the wording be changed to allow any faculty member who is an outstanding researcher to be considered. For example, rather than saying "research faculty" the term could say "faculty members who are outstanding researchers" - this would maintain the purpose, but would not automatically exclude certain categories of faculty member from consideration."	No action taken. These awards are targeted at faculty members who have research as a required component of their work responsibilities. "Research faculty" is the chosen terminology as it corresponds a recognized category under the SFUFA Collective Agreement.
SFU Registrar	Policy, 11.0	"I would consider having interpretation be completed by the President. Given how involved the VPRI is within the policy and procedures, they would likely find themselves with a conflict of interest if needing to interpret the policy especially if it is related to a decision that VPRI has made."	No action taken. This standard boilerplate text in SFU policies, defining the role of the policy authority. It relates to policy interpretation, not appeal of decisions. It is consistent with the role of the VPA in interpreting the teaching awards policy.

Received from	Document, Item	Input received	Action taken
SFU Registrar	Procedures, Eligibility	"Could the situation exist where a member is nominated without their knowledge. It may be better if in this section it is stated, that upon a committee member being nominated they must recuse themselves from participation in the decision making on that specific award. Especially since self-nominations are not allowed."	Change made. See Procedures, 3.8.
SFU Registrar	Procedures, Eligibility	"Is it the nominee that can be nominated three times or should it be the same nomination can only resubmitted three times. My concern (and this may not be the case) is could faculty member be nominated for an award for different purposes. Based on the current wording, after three nominations they could not be renominated in the same category even if the reason for nomination is different."	Change made. See Procedures, 3.9.
SFU Registrar	Procedures, Nomination Process	"It may be helpful if rough timelines are established or a baseline for how long nominations should be open for (i.e., nomination period shall be no less than four weeks).	Change made. See Procedures, 3.11.
SFU Registrar	Procedures, Nomination Process	"Does having a nominee complete a self-reflection go against the principle of nominees not being able to self nominate."	Change made. See Procedures, 3.14.2.
SFU Registrar	Procedures, Conditions of Award	"Should it be award in the singular?" [referencing a typo]	Change made. See Procedures, 3.23
SFU Registrar	Procedures, Conditions of Award	"Should there be a statement that the decision of the VPRI is final and cannot be appealed in terms of when an award has been issued."	Change made. See Procedures, 3.24.
Faculty member A	Procedure	"Is this a career award, or something for a particular span of years? What elements of the research portfolio are salient? Are external letters needed? Or are EDI considerations more important than the raw research record?"	No action taken. These questions will be addressed in the annual Call for Nominations, as set by the committee. See Procedure, 3.1.
Faculty member A	Appendix A	"Appendix A is the one I figured was key because it points to what nominees would be assessed in. Instead there's pointers to a bunch of policies and frameworks that seem tangential, and don't shed light on what materials/standards are being looked for"	No action taken. These questions will be addressed in the annual Call for Nominations. See Procedure, 3.1.

Received from	Document, Item	Input received	Action taken
Academic Freedom Group	Appendix A, 2.5	“This statement, which deals with the committee’s responsibilities with respect to certain frameworks should be deleted; Appendix B, Section 5.0 seems like a more appropriate place for discussion of responsibilities. Appendix A, Section 2.5 should be restricted to the definition of research excellence alone. Otherwise, the inclusion of these frameworks in the definition could be interpreted as introducing new requirements for academic research related to the social and political views expressed herein.”	Change made. See Appendix, 2.5
Academic Freedom Group	Appendix B, 5.3	“Insisting that the committee adhere to multiple frameworks [...] seems ill-advised. Rather, we suggest that the committee be guided by a single, SFU-specific framework with clear definitions of key terms mirroring those in other SFU documents...”	Change made. See Appendix B, 5.3.1.4. Appendix B, 4.4 which referenced these frameworks was deleted.
Academic Freedom Group	Appendix B	“The committee’s responsibilities should explicitly include adherence to the principles of academic freedom.... The policy should therefore emphasize this freedom as a central tenet when evaluating candidates for the awards.”	Change made. See Appendix B, 5.3.1.5.
SFU Registrar	Appendix B	“On the committee structure, it would appear that the term vice-chair would be more appropriate than co-chair. Using a co-chair structure would have two co-chairs and not a chair and co-chair.”	Change made. See Appendix B, 2.2.
SFU Registrar	Appendix B, 2.2	<i>“Given that the terms of members are three years, there will be issues with the co-chair serving 2 year terms. You will run into situations where a co-chair can only serve 1 year and their appointment to the committee will end. It may make it easier if you have the co-chair have one year terms. ”</i>	Change made. See Appendix B, 2.2.
SFU Registrar	Appendix B, 2	<i>You may want to consider if there should be something in the terms about how many times a member may be appointed consecutively. For Senate, we use two terms before a member would need to sit out for at least a year.</i>	Change made. See Appendix B, 2.3.

Received from	Document, Item	Input received	Action taken
SFU Registrar	General	<i>I would also consider developing what awards exist under this framework, as it is likely there will be feedback wanting all of the awards to be articulated so they can be approved as part of the policy.</i>	No action taken. Awards will be conferred for Research Excellence as defined in Appendix A, 2.5. Specific award categories and number of awards will be recommended by the Advisory Committee, comprised of reps from each Faculty. See Policy ,4.2 and [new] Policy, 4.3.
Faculty member B	General	Currently all of the authority of the policy is centralized under the VPRI. We think that policies are more robust, have more community confidence, and generally better when the authority is not centralized in one role but rather by an advisory board or group. We would recommend that changes to the advisory board or to the policy itself come from the advisory board, and ultimately to Senate for approval.	No action taken. The VPRI is the applicable Policy Authority for this policy in accordance with B10.00 (SFU policy on policies). Changes to the policy itself also follow B10.00 and include public consultation and Senate approval.
Adam James on behalf of SFUFA	General	Some uncertainty around the nomination process, specifically whether anyone can nominate or whether it has to proceed through the formal nomination process.	No action taken. See Procedure, 3.13.
Adam James on behalf of SFUFA	General	Concerns around consistency/alignment with other awards policies and programs (and ensuring that it is clear which policy applies to what awards).	No action taken. See Policy, 2.2.
Adam James on behalf of SFUFA	General	A general concern about clarity of how awards are adjudicated (not just in the new policy but generally).	No action taken. No further feedback received.
Faculty member C	General	"I think research awards are a misguided and flawed way to compensate researchers. They are, by nature, extraordinarily subjective and political and tend to reward the loudest cuckoo birds in the nest, so to speak. They do not motivate people to try harder to produce high quality research, and it is demoralizing to people who try extraordinarily hard and don't receive recognition. These monies should be reallocated to base salaries and these reward programs discontinued."	No action taken.

Draft feedback to responders

SFU Academic Freedom Group, c/o Rachel Altman, rachel_altman@sfu.ca

Thank you for your valuable feedback on the proposed policy R70.01 to establish the SFU Excellence in Research Awards. I have carefully considered your comments in consultation with the Associate Vice-President, Research and Melanie Monk from the Institutional Strategic Awards office, who oversees our recognition portfolio and is the Responsible Authority for this policy.

In response to your suggestions, we have made the following revisions:

1. The statement regarding the committee's responsibilities in specific frameworks has been removed from Appendix A. Appendix A, Section 2.5 now solely focuses on the definition of research excellence, avoiding any potential introduction of new requirements related to academic research. (See Appendix, 2.5)
2. Instead of adhering to multiple frameworks regarding inclusive excellence, the committee will now be guided by a single, SFU-specific framework, incorporated into Appendix B, Section 5.3.1.4. The reference to these frameworks in Appendix B, Section 4.4 has also been removed.
3. The committee's responsibilities now explicitly include adherence to the principles of academic freedom. This freedom is emphasized as a central tenet when evaluating candidates for the awards in Appendix B, Section 5.3.1.5.

Attached, please find the updated draft policy and associated documents reflecting these changes. Your input has been instrumental in refining this policy, and we appreciate your continued engagement in this process. Please feel free to reach out if you have any further comments or concerns.

To: Tom Nault, SFU Registrar - tom_nault@sfu.ca

Thank you for your valuable feedback on the proposed policy R70.01 to establish the SFU Excellence in Research Awards. I have carefully considered your comments in consultation with the Associate Vice-President, Research and Melanie Monk from the Institutional Strategic Awards office, who oversees our recognition portfolio and is the Responsible Authority for this policy.

In response to your suggestions, we have made the following revisions:

1. Regarding Policy section 2.1, we have made it explicit that non-faculty members who are part of a team will receive recognition.
2. In response to your suggestion about defining "research faculty member," we have included a clear definition in Appendix A. The definition now refers to the specific job category outlined in the SFUFA collective agreement, clarifying any potential ambiguity.
3. Your concern about policy interpretation has been noted. However, after careful consideration, we have decided to maintain the standard boilerplate text in Policy, 11.0. This text outlines the role of the Policy Authority in policy interpretation and aligns with similar language used in other SFU policies, including A32.01 (Awards for Excellence in Teaching).
4. To address the possibility of a committee member being nominated without their knowledge, we have added a provision stating that upon a committee member being nominated, they must recuse

themselves from participating in the decision-making process for that specific award. This change is reflected in Procedures, 3.8.

5. To clarify the nomination process, we have revised the wording to indicate that the same nomination can be resubmitted as many times as desired, allowing for different purposes behind the nominations. This change is reflected in Procedures, 3.9.
6. In response to your suggestion for establishing rough timelines for the nomination period, we have added a provision stating that the nomination period shall be no less than four weeks. This change is reflected in Procedures, 3.11.
7. To address the concern about nominees completing a self-reflection, which might contradict the principle of not allowing self-nominations, we have removed this requirement. This change is reflected in Procedures, 3.14.2.
8. The typographical error regarding the word "award" has been corrected to singular form. This change is reflected in Procedures, 3.23.
9. To address the concern about the finality of the VPRI's decision, we have added a statement indicating that the decision of the VPRI is final and cannot be appealed once an award has been issued. This change is reflected in Procedures, 3.24.
10. In response to your suggestion relating to the committee structure, the term "vice-chair" has been adopted as it accurately represents the structure with a chair and a vice-chair, rather than having two co-chairs. This change is reflected in Appendix B, 2.2.
11. Appendix B, Committee Terms: To resolve the issue of co-chairs serving 2-year terms and the potential conflicts arising from this, co-chairs will now have one-year terms. This adjustment ensures a smoother rotation of committee members and prevents situations where a co-chair's appointment ends prematurely. This change is reflected in Appendix B, 2.2.
12. Awards will be conferred for Research Excellence as defined in Appendix A, Section 2.5. The types of awards that may be conferred are outlined in Policy 4.3. The specific categories and the number of awards will be recommended by the Advisory Committee, which will include representatives from each Faculty. This information is outlined in Policy, 4.2 and Policy, 4.3.

Attached, please find the updated draft policy and associated documents reflecting these changes. Your input has been instrumental in refining this policy, and we appreciate your continued engagement in this process. Please feel free to reach out if you have any further comments or concerns.

To: Kumari Beck (President, SFUFA), kumari_beck@sfu.ca cc Brian Greene, ED SFUFA
brian_green@sfu.ca

Thank you for your valuable feedback on the proposed policy R70.01 to establish the SFU Excellence in Research Awards. I have carefully considered your comments in consultation with the Associate Vice-President, Research and Melanie Monk from the Institutional Strategic Awards office, who oversees our recognition portfolio and is the Responsible Authority for this policy.

1. Policy, 2.1: While we understand your concern about the inclusivity of the awards, these awards are specifically targeted at faculty members for whom research is a required component of their work responsibilities. We have included a clear definition in Appendix A that now refers to the specific job category outlined in the SFUFA collective agreement, clarifying any potential ambiguity.
2. General: Regarding the centralization of authority, the VPRI is designated as the Policy Authority in accordance with the SFU policy framework. While we acknowledge your recommendation for a more distributed approach, the existing structure follows the established guidelines and is

consistent with other SFU policies, including A32.01, Awards for Excellence in Teaching. Any substantive amendments to the policy, including those suggested by the advisory board, would still need to undergo public consultation and gain University Executive and Senate or Board approval as required under B10.00 Policy on University Policies and Procedures.

Attached, please find the draft policy and associated documents that have been updated as a result of the consultation. Please feel free to reach out if you have any further comments or concerns.

Nilima Nigam, nigam@math.sfu.ca

Thank you for your valuable feedback on the proposed policy R70.01 to establish the SFU Excellence in Research Awards. I have carefully considered your comments in consultation with the Associate Vice-President, Research and Melanie Monk from the Institutional Strategic Awards office, who oversees our recognition portfolio and is the Responsible Authority for this policy.

Your point about the need for clarity in Appendix A regarding the assessment criteria for nominees has been noted. Awards will be conferred for Research Excellence as defined in Appendix A, Section 2.5. The types of awards that may be conferred are outlined in Policy 4.3. The specific categories and the number of awards will be recommended by the Advisory Committee, which will include representatives from each Faculty. This information is outlined in Policy, 4.2 and Policy, 4.3.

Attached, please find the draft policy and associated documents that have been updated as a result of the consultation. Please feel free to reach out if you have any further comments or concerns.

To: Eric Schmidtke, eas15@sfu.ca

Thank you for sharing your perspective on the SFU Excellence in Research Awards. While we acknowledge your concerns, we strongly believe in the value of awards in fostering a culture of recognition and enhancing the career development of researchers. Awards also serve to raise awareness of emerging fields and of Canada's research strengths on the international stage.

SFU RESEARCH EXCELLENCE AWARDS POLICY

Date
[date] **Number**
R 70.01

**Date of Last
Review/Revision**
[date] **Mandated
Review**
[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 [Appendix A: SFU Research Excellence Awards Definitions](#) 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 [Appendix B: SFU Research Excellence Awards Advisory Committee Terms of Reference](#).

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”);
 - 5.2.2 Regularly review and recommend changes to the Procedure and Call for Nominations; and

- 5.2.3 Establish benchmarks and implement strategies to ensure that the pool of nominees and awardees represents SFU's diversity of research and researchers.

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: [SFU Research Excellence Awards Procedure](#).
- 12.2 [Appendix A: SFU Research Excellence Awards Definitions](#) contains the definitions and criteria applicable to this policy and its associated procedures.
- 12.3 [Appendix B: SFU Research Excellence Awards Advisory Committee Terms of Reference](#) sets out the Advisory Committee's appointment process, membership, meetings and quorum, and roles and responsibilities.

SFU RESEARCH EXCELLENCE AWARDS PROCEDURE

Date [date]	Number R 70.01
Date of Last Review/Revision [date]	Mandated Review [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 [Appendix A](#) (the “Definitions”) to the [SFU Research Excellence Awards Policy R 70.01](#) (“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, awarded as a research grant to the faculty member.
- 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 The VPRI and the Advisory Committee are responsible for implementing strategies to ensure a diverse pool of Nominees, using the SFU Equity Compass framework to guide its work.
- 3.16 After the nomination period closes, the Advisory Committee will review submissions for recommendation to the VPRI, who approves Award recipients.

Selection criteria

- 3.17 These Awards recognize Research Excellence as defined in Appendix A: Definitions.
- 3.18 The selection criteria for specific award categories will be set out in the annual Call for Nominations.
- 3.19 The selection criteria and evaluation process will be governed by the SFU Equity Compass and the principles of academic freedom, as set out in Appendix B: Committee Terms of Reference.

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

	Date [date]	Number R 70.01
	Date of Last Review/Revision [date]	Mandated Review [date]
Policy Authority:	Vice-President, Research & International	
Parent Policy:	SFU Research Excellence Awards Policy R 70.01	

1.0 PURPOSE

1.1 The definitions in this Appendix define the words used in the [SFU Research Excellence Awards 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

Date
[date] **Number**
R 70.01

Date of Last Review/Revision
[date] **Mandated Review**
[date]

Policy Authority: Vice-President, Research & International

Parent Policy: [SFU Research Excellence Awards Policy R 70.01](#)

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);
- 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 establishing benchmarks and implementing strategies to ensure that pool of nominees and awardees represent SFU's diversity of research and researchers;
 - 5.1.1.3 soliciting recommendations from Advisory Committee members; and
 - 5.1.1.4 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 collecting and reporting aggregated diversity data on nominees and awardees;
 - 5.2.1.3 arranging transfer of research prizes to awardees; and
 - 5.2.1.4 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 adopting the definitions of equity, diversity, and inclusion and inclusive excellence from the SFU Equity Compass and forthcoming Glossary in the context of its work; and
 - 5.3.1.5 upholding the principles of academic freedom in the evaluation of nominees and selection of awardees, in accordance with the SFU/SFUFA Collective Agreement.