



SIMON FRASER UNIVERSITY
ENGAGING THE WORLD

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 Vice President, Research & International	PAGES	1
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

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.

TABLE OF CONTENTS

1.0	PURPOSE	2
2.0	SCOPE AND JURISDICTION	2
3.0	DEFINITIONS	2
4.0	POLICY	2
5.0	ROLES AND RESPONSIBILITIES	2
6.0	RELATED LEGAL, POLICY AUTHORITIES AND AGREEMENTS.....	3
7.0	ACCESS TO INFORMATION AND PROTECTION OF PRIVACY	3
8.0	RETENTION AND DISPOSAL OF RECORDS	3
9.0	POLICY REVIEW.....	3
10.0	POLICY AUTHORITY.....	3
11.0	INTERPRETATION	3
12.0	PROCEDURES AND OTHER ASSOCIATED DOCUMENTS	3

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”); 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: [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.

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.

- 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.