CONTRACT RENEWAL, PROMOTION, TENURE FOR TENURE TRACK TEACHING FACULTY
2003-2004 ACADEMIC YEAR

ACADEMIC AFFAIRS-- UHH
The document is to be used as guidelines for tenure tract faculty who seek contract renewal, promotion and tenure with the intention of providing clarification for policies, procedures, and expectations. The University of Hawaii Board of Regents Policy and the Agreement with University of Hawaii Professional Assembly are the legal basis for this document. Any information in this document that is not consistent with BOR Policy and UHPA agreement is therefore invalid.
Introduction

This handbook provides guidance for full-time permanent teaching faculty at the University of Hawaii at Hilo. Included are descriptions of policies, processes and procedures for faculty to advance in rank and to gain tenure. Integrated into the handbook are the source documents that provide the foundation for these personnel decisions. Foremost among these documents are the UHH Criteria for Promotion and Tenure and Articles IX, XI, and XII of the University of Hawaii Professional Assembly (UHPA) contract with the University of Hawaii. These criteria and articles are found in Appendix A and B, respectively. This handbook is not applicable to lecturers, instructors, visiting faculty, or other teachers in temporary positions.

Tenure track positions the University of Hawaii are those meeting both of the following qualifications

- Rank I3-I5 (assistant professor, associate professor, or professor)
- Assigned a permanent position number (not suffixed by the letter T)

Prior to receiving tenure, faculty members are evaluated in their second year, fourth year, and each subsequent year thereafter. This review process is called contract renewal and is discussed in the next section.

The timetable for tenure and promotion varies with the rank at which a faculty member is hired:

**ASSISTANT PROFESSORS**

Assistant Professors are normally considered for tenure and promotion during the fifth year of service with the result of the decision taking effect at the beginning of the sixth year. Promotion and tenure decisions are linked in that an Assistant Professor can be granted tenure only when simultaneously being granted promotion to Associate Professor. No exceptions are made to this rule and, thus, there are no tenured Assistant Professors at this institution. An Assistant Professor can be considered for promotion without tenure, however, provided the applicant has met the minimum requirements.

**ASSOCIATE PROFESSORS**

Faculty members who are hired at the rank of Associate Professor initially will not have tenure. The normal schedule for tenure is to apply in the third year with the decision taking effect at the beginning of the fourth year. The tenure decision at this rank is not linked to promotion. The normal schedule for promotion to Professor is to apply during the fifth year of service at the rank of Associate professor.

**PROFESSORS**

Faculty members who are hired at the rank of Professor initially will not have tenure. The normal schedule for tenure is to apply in the second year with the decision taking effect at the beginning of the third year.
LENGTHENING AND SHORTENING THE PROBATIONARY PERIOD FOR TENURE

The probationary period can be lengthened, shortened, or eliminated by the Chancellor at the request of a faculty member or on the initiative of the Chancellor with the concurrence of the faculty member. In no instance, however, can the period be lengthened beyond seven years. An untenured faculty member who has not applied for tenure by the seventh year will receive a final one-year contract for the eighth year.

TIME IN RANK FOR PROMOTION

Normally, a faculty member will serve for five years in a given rank before being considered for promotion to the next hirer rank. This service may include service in the same rank or an equivalent rank at another institution with a request for a waiver of minimum requirements as stated in the Board of Regents Policy to the Chancellor through the Vice Chancellor for Academic Affairs and the Dean.

Contract Renewal

Faculty initially hired as Assistant Professors will be evaluated during their second and fourth years of service and in every year thereafter. The purpose of these evaluations is to assess their progress towards promotion and tenure. This evaluation is a multi-tiered process with evaluations being provided sequentially by the Department or Division Personnel Committee (DPC), the Department or Division Chair (DC), and the Dean or Director. The process follows a schedule set forth by in the current year’s Calendar for Personnel Actions.

The application for contract renewal will consist of a letter requesting renewal and a completed dossier.

Promotion and Tenure Requirements

The qualifications required for tenure and for promotion at various ranks are given in general University requirements and specific requirements of individual colleges and programs. Appendix A contains the general University requirements the ranks of Assistant Professor, Associate Professor, and Professor. The general requirements for tenure being granted at a specific rank are the same as the requirements for promotion to that rank. When a College, Division, or Department maintains a separate set of criteria, the candidate is required to satisfy the general university requirements and any specific unit requirements applicable to that position.

As a guide for both applicants and for those making evaluations, a set of vignettes of successful profiles for promotion and tenure are included in Appendix D. While these examples are hardly exhaustive of all possible profiles, they do provide insight into what the University expects in terms of accomplishments.
Application for Tenure and Promotion

The process for applying for promotion and the process for applying for tenure are identical – the same forms are used, the same dates apply, the same criteria are applied, and the same individuals are involved in the decision process. The beginning of each fall semester, a calendar listing the deadlines for various stages of the evaluation process will be distributed by the Vice Chancellor of Academic Affairs to the Deans and Directors. There will be designated deadlines for the submission of requests to shorten or lengthen the probationary period for waiving minimum requirements for promotion. An example of such a calendar is shown in Appendix E.

The candidate should be aware of the deadlines for the following actions:

- Deadline for request for waiver of minimum qualifications for promotion and the change of probationary period to be submitted to the Chancellor
- Deadline for submission of exclusions to be submitted to the Chancellor (typically mid September)
- Deadline for submission of application and dossier to the Departmental/Division Personnel Committee

The date for submission of the candidate’s application and dossier is set by the President of the University while the other dates are set by the Chancellor. The dossier is a compendium of information about the applicant’s achievements and qualifications for promotion and/or tenure. Complete instructions for creating a dossier and the forms to be included are given in Appendix E.

Each applicant for tenure or promotion has the right to exclude up to ten persons from the TPRC that will evaluate their case. The set of all persons in the University System eligible to serve on TPRCs is called the Faculty Personnel Panel. This is the set from which exclusions are made. The Faculty Personnel Panel listing is available at the Department of Human Resources. The faculty member should forward the exclusion list to the Vice Chancellor Academic Affairs through the Dean.

The application and dossier are initially submitted to the DPC. The DPC can be a Departmental Personnel Committee or a Division Personnel Committee depending and the size of the department and the wishes of the faculty. A department with six of more full time teaching faculty (whether tenure track or not) may elect to have its own Personnel Committee. Otherwise, the Division Personnel Committee will provide the review. Membership on the Departmental Personnel Committee is made up from faculty the Department and the Division. The following personnel are to be excluded however:

- Applicants for tenure and promotion
- Personnel under consideration for contract renewal
- Personnel on terminal year appointments

After making its evaluation, the DPC places the evaluation with signatures on the required form in the dossier and forwards the dossier to the DC. The DC is the Department Chair in the case of a Committee and is the Division Chair otherwise.
The DC writes an evaluation that is, again, inserted into the dossier and forwarded to the Dean. The Dean makes a similar evaluation, inserting it and forwarding the dossier to the TPRC. The forms for reporting each evaluation are in the application (see P&T Application).

The TPRC provides its evaluation as a single report with any minority views contained within that report. The signed report is placed within the dossier, the dossier is returned to the appropriate Dean who forwards it to the Chancellor. If the dossier contains a negative recommendation at any level, the faculty member is accorded the right to examine the dossier, submit written comments and additional materials. These rights and the procedures for handling a case where there is disagreement between the TPRC and the Chancellor are given in Article XI Section G (tenure) and Article XIII Section D (promotion) of the contract (Appendix B).

The recommendations are transmitted by the Chancellor to the President, who submits final recommendations to the Board of Regents for action. All actions related to tenure and promotion must be completed by the end of the fiscal year (June 30).
Appendix A

Criteria for Promotion and Tenure

ASSISTANT PROFESSOR (I-3)

Duties and Responsibilities: The primary responsibility of an assistant professor is to conduct assigned courses and seminars. Additionally, the assistant professor is to serve as academic advisor to students; serve on college or university committees; engage in scholarly activities, and/or creative endeavors which contribute to the academic mission of the University. Where appropriate, the assistant professor is to participate in curriculum development activities; supervise laboratories, independent study activities, and off-campus learning such as practicum and internships; and to render service to the professional or lay community which is relevant to the individual's academic specialty. Perform such other related tasks and duties as assigned.

Minimum Qualifications: A doctorate from a college or university of recognized standing in a field appropriate to the requirements of the position. In unusual circumstances the requirement of a doctorate may be waived by the University upon demonstration of appropriate professional training, competence or experience.

ASSOCIATE PROFESSOR (I-4)

Duties and Responsibilities: The primary responsibility of an associate professor is to conduct assigned courses and seminars. Additionally, the associate professor is to serve as academic advisor to students; serve on college or university committees; engage in scholarly activities, and/or creative endeavors which contribute to the academic mission of the University; provide professional assessments in personnel matters when requested. Where appropriate, the associate professor is to participate in curriculum development activities; supervise laboratories, independent study activities, and off-campus learning such as practicums and internships; and to render service to the professional or lay community which is relevant to the individual's academic specialty. Perform such other related tasks and duties as assigned.

Minimum Qualifications:

1) A doctorate from a college or university of recognized standing in a field appropriate to the requirements of the position. In unusual circumstances the requirement of the doctorate may be waived by the University upon demonstration of appropriate professional training, competence or experience.

2) Demonstrated high quality teaching performance.

3) At least five years of full-time college or university teaching in the rank of assistant professor or higher.
4) High quality contributions in at least one of the following areas and demonstrated competence in the other:

A) Scholarly contributions and/or creative contributions in the individual's field appropriate for the rank and the standards of the specific campus.

B) Service to the academic life of the college and/or university system. Where appropriate, contributions to the professional or lay community pertinent to the individual's professional training will be applicable in partial satisfaction of the service criterion.

PROFESSOR (I-5)

Duties and Responsibilities: The primary responsibility of a professor is to conduct assigned courses and seminars. Additionally, the professor is to serve as academic advisor to students; serve on college or university committees; engage in scholarly activities, and/or creative endeavors which contribute to the academic mission of the University; exhibit professional and academic leadership. Where appropriate, the professor is to participate in curriculum development activities; supervise laboratories, independent study activities, and off-campus learning such as practicums and internships; and to render service to the professional or lay community which is relevant to the individual's academic specialty. Perform such other related tasks and duties as assigned.

Minimum Qualifications:

1) A doctorate from a college or university of recognized standing in a field appropriate to the requirements of the position. In unusual circumstances the requirement of the doctorate may be waived by the University upon demonstration of appropriate professional training, competence or experience.

2) Demonstrated high quality teaching performance.

3) At least five years of full-time college or university teaching in the rank of associate professor or higher.

4) High quality contributions in at least one of the following areas and demonstrated competence in the other:

A) Scholarly contributions and/or creative contributions in the individual's field appropriate for the rank and the standards of the specific campus.

B) Service to the academic life of the college and/or university system. Where appropriate, contributions to the professional or lay community pertinent to the individual's professional training will be applicable in partial satisfaction of the service criterion.

In unusual circumstances and for exceptional cases, the University may, in its discretion, waive any of the other minimum qualifications besides the academic degree requirement. The waiver of a requirement in a given case for one rank will not necessarily mean it is waived for the next higher rank.
Appendix B – UH-UHPA Contract

ARTICLE IX, DEPARTMENT OR DIVISION PROCEDURES GOVERNING TENURE, PROMOTION, AND CONTRACT RENEWAL

A. DEPARTMENTAL PROCEDURES

Each Department or Division, or comparable unit within the University, shall reduce its committee procedures on tenure, promotion, and contract renewal to writing. If such procedures have not been written and approved within six (6) months of the execution of this Agreement, the Employer shall develop such procedures for the Department or Division.

B. MINIMUM REQUIREMENTS FOR DEPARTMENTAL PROCEDURES

Written Department or Division Personnel Committee procedures shall at a minimum provide for (a) secret ballot voting at all final votes; (b) strict exclusion from voting of any individual who is not a tenured bargaining unit member over the promotion, tenure, or contract renewal of another faculty member; (c) allowing only faculty members of equal or higher rank to vote on applications for promotions; and (d) procedures for the orderly review of dossiers at the Department or Division level.

Non-tenure track bargaining unit members may participate in the establishment of Department or Division Personnel policies and procedures, and they may also take part in the discussions of the Personnel Committee if the Department or Division has voted to include these Faculty Members in such deliberations.

The DPC policies and procedures may include provisions for an individual candidate to exclude participation by other department members where the candidate believes that a conflict exists that would prevent the faculty member’s fair evaluation of a tenure or promotion application made by the candidate.

Department or Division Chairs, and other bargaining unit members serving in similar capacities such as those with the title Director, shall not participate by voice, vote, presence, or in any other form of communications in the deliberations of the DPC over individual tenure and promotion applications.

C. REVIEW OF PROCEDURES

1. Written Department and Division Personnel Committee procedures shall be submitted through the Dean or Director, Provost to the appropriate Chancellor and the union for approval, which shall not be unreasonably withheld. These procedures shall comply with the terms of this Agreement, Board of Regents policies, and administrative guidelines.

3. Copies of the approved Department/Division Personnel Committee procedures will be filed with the Union. Copies shall also be retained in the office of the Dean, Director, Provost or Chancellor at UH-West Oahu.
D. AMENDMENTS OF PROCEDURES

1. Amendments to Departmental Personnel Committee procedures may be recommended from time to time at the discretion of the Department, Division, or comparable unit.

2. The proposed amendment shall be sent through the Dean[,] or Director[,] or Provost] to the appropriate Chancellor and the union for review and approval, which shall not be unreasonably withheld. Approved amended procedures shall be filed with the Union and the Dean, Director[, Provost] or Chancellor at UH-West Oahu.

ARTICLE XI, TENURE AND SERVICE

A. DEFINITIONS. As used in this Agreement, the term:

1. "Academic tenure" means the right of Faculty Members to permanent or continuous service in the University.

2. "Probationary period" means the period of assessment of eligible Faculty Members prior to the awarding of tenure.

3. “Temporary Appointments” including Faculty Members on Limited Term Contracts, Visiting Faculty, and Lecturers are not eligible for tenure.

B. PROBATIONARY PERIOD

1. Probationary Service.

   a. The probationary period begins when the Faculty Member first holds a tenure track appointment effective on or after July 1 and prior to October 2 of full-time service.

   b. The probationary period ends by the granting of tenure, the refusal of tenure by the Employer, or the non-renewal of appointment. During this period, probationers do not have a claim to their position and the Employer, through its officers, may exercise its prerogative of non-appointment without a statement of reasons, except as provided in Paragraph H. of this Article.

   c. "Full-time probationary service" eligible for credit toward academic tenure must consist of teaching and/or research and/or extension and/or specialized work in the University in Ranks 2, 3, 4, and 5 in the A, B, or S classification, or in Ranks 3, 4, and 5 in I or R classification, or in Ranks II, III, IV, and V of the C classification in the Community Colleges. In absence of agreement to the contrary, service on a terminal year contract does not count as probationary service.

2. Duration of Probationary Period.

   a. The probationary period is five (5) probationary years while in salary
classifications A-2, B-2, S-2, I-3, R-3, A-3, B-3, S-3, and C; three (3) years while in classifications I-4, R-4, A-4, B-4, and S-4; and two (2) years while in classifications I-5, R-5, A-5, B-5, and S-5.

b. The probationary period for any Faculty Member may be lengthened, or shortened, or eliminated by specific action of the Employer either at the request of the Faculty Member, or upon the initiative of the Employer with the concurrence of the Faculty Member, but in no instance may the total full-time probationary service exceed seven (7) years. Service at other institutions, including other campuses of the University of Hawaii, may be credited to the probationary period. The Employer shall notify the Faculty Member, in writing, of the decision to lengthen, shorten, eliminate or in any way alter the normal probationary period. If tenure is denied, the Faculty Member will be given a terminal one-year appointment.

c. The probationary period may be interrupted during periods when the Faculty Member does not hold a full-time contract. If the Faculty Member signs a contract for a non-tenure track position, the probationary period may also be interrupted. If the Faculty Member agrees to be transferred by the administrative head to a nontenure track position, the Faculty Member shall continue to accrue probationary credit. By specific agreement in writing in advance, the Faculty Member and the Employer may agree that periods when the Faculty Member is serving in a nontenure track position will count toward the probationary period. Faculty Members who have leaves of absences with or without pay during the probationary period must be aware that such leave will not necessarily be credited toward their probationary period. Leaves of absences of a duration not greater than thirty (30) days during probationary periods shall be credited toward the probationary period. Credit for periods of leaves of absences, with or without pay, which exceed thirty (30) days in duration shall be approved in writing by the Employer before such leaves are taken, and in the absence of such approval, the leave period will not be credited.

d. A Faculty Member with full-time non-probationary service in one of the Ranks specified in Paragraph B.2.a. above who accepts a probationary appointment without a break in service at the same Rank and with the same duties shall, upon written request, be granted a reduction in probationary period. The Faculty Member's probationary period shall be as provided in Paragraph B.2.a. reduced by the number of full years of service in the prior non-probationary appointment as defined above; however, the probationary period shall not be less than one (1) full year or two (2) semesters.

e. Faculty Members with service in a Rank which does not count as probationary service may, upon promotion to a Rank which is probationary, request a shortening of the normal probationary period by up to three (3) years, or the number of years of such non-probationary service, whichever is smaller.

f. A Faculty Member in salary classification I-3, or R-3 shall be awarded promotion to Rank 4 without separate application if granted tenure. The decision to grant tenure shall include a determination that the Faculty Member qualifies for promotion to the Rank in which tenure is granted.
g. A Faculty Member in salary classification C-2 shall be awarded promotion to Rank 3 without separate application if granted tenure. The decision to grant tenure shall include a determination that the Faculty Member qualifies for promotion to the Rank in which tenure is granted.

3. Contracts During Probationary Period.

Initial appointment to the Faculty, by contract, shall be for a two (2) year period. In the C and I classifications, the initial contract will usually be effective August 1 and continue through July 31 of the last year of the initial contract. If the Faculty Member is to be reappointed, a new contract will be offered which becomes effective August 1. For Faculty Members at rank 2 or 3, this contract shall be for two years and may be followed by one year contracts effective August 1, with the terminal year usually ending July 31. Faculty at all other ranks who are to be reappointed shall be given one-year contracts effective August 1 with the terminal year ending July 31. Additional contract renewals shall be for one-year terms not to exceed seven (7) years of full-time probationary service.

C. EFFECTIVE DATES FOR PROBATION

For the purposes of tenure, a full-time appointment which is effective on October 1, or prior to that will be considered as a full year of probationary service on July 31 next. Where the effective date of the initial appointment is later than October 1, the partial year will not count in the calculation of the probationary period. In such event, the Probationary period will commence on August 1 following.

D. RENEWAL OF CONTRACTS DURING THE PROBATIONARY PERIOD

1. General

Recommendations for renewal shall require that the Faculty Member's performance has been assessed for strengths and weaknesses and has been rated as satisfactory, that there is a continuing need for the Faculty Member's services at the University, and that the Faculty Member has made the professional improvement or has demonstrated the professional and personal qualities needed by the department, or similar considerations. A positive assessment does not necessarily assure renewal of appointment.

2. Procedures

The reappointment recommendation form is initiated by the Department/Division Chair. The form will provide for the assessment by the Department/Division Chair and the Department/Division Personnel Committee of the Faculty Member's performance. The form is passed to the Department/Division Personnel Committee which will include its assessment and recommendation with the form and transmit the material to the Chair who will make an assessment and recommendation. The Chair will then show the assessments and recommendations to the Faculty Member concerned before forwarding same to the Dean/Director. The assessments and recommendations shall be forwarded to the Dean/Director no later than December 20.
Written notification of intent to terminate an appointment at the end of the initial contract shall be given by the Employer to a probationary Faculty Member by January 15 of the second year. If notification of termination is not given by January 15, the Faculty Member will be given a one-year terminal contract commencing on the following August 1. After two (2) or more full-time probationary years, at least twelve (12) calendar months’ notice of termination will be given.

3. Non-reappointment, Statement of Reasons

In a case in which the Employer has exercised its prerogative of non-reappointment, the Faculty Member may within twenty (20) calendar days of receipt of the written notification request a meeting with the Dean or other appropriate official. Upon request, the Faculty Member will be advised orally of the reasons for the nonreappointment.

Upon written request of the Faculty Member within ten (10) calendar days of the meeting, the reasons will be confirmed in writing.

4. Not Subject to the Grievance Procedure, except Paragraph 2

Since the probationer does not have a claim to the position and the Employer may exercise its prerogative of non-reappointment, the requested statement of reasons is provided for purposes of information only; and the statement of reasons, the decision of the Employer, and the provisions of this Article, with the exception of Paragraph 2, Procedures, shall not be subject to the grievance procedure.

E. TENURE APPLICATION, REVIEW AND NOTIFICATION

All eligible Faculty Members must apply for tenure by their final year of probationary service according to a timetable established and published by the Employer, provided previous years of probationary services have been rated as satisfactory. Following review of the application, the Employer through its officers shall notify the Faculty Member by June 30 following the date of application whether it will grant or refuse to grant tenure on the following July 1. If tenure is refused, the Faculty Member shall be offered a terminal year's contract commencing July 1. If notification of refusal of tenure is not given in writing by June 30 of the final year of probation, the Faculty Member shall receive a year's extension of probationary service with the option of reapplying for tenure during that year. Personal delivery of the notice in writing, or the mailing of the notice by certified or registered mail to the last recorded residence of the Faculty Member, on or before June 30, shall constitute an effective notification. A Faculty Member who fails to apply for tenure during the final year of probationary service shall be given a one-year Terminal contract commencing August 1.

F. TENURE EVALUATION PROCEDURES

1. Preparation of Tenure Applications

Guidelines for filling out and processing tenure applications shall be established by the Employer. Criteria shall be in writing and procedures provided to the applicant along shall be distributed in the guidelines and with the tenure application forms and shall be
the basis on which judgment for consideration of tenure shall be made.

Tenure application forms shall be made available to eligible Faculty Members no less than six (6) weeks prior to the application deadline. Faculty Members applying in the final year of the normal probationary period (as set forth in B.2.a. of this Article) shall have the option of being considered under the criteria contained in the guidelines distributed in the year of application or those contained in the guidelines distributed two years earlier.

At each campus, the administrative coordination for this process will be provided by the Office of the Chancellor.

2. Procedures for Evaluating Tenure Applications

a. The application for tenure is prepared by the candidate in consultation with the Department/Division Chair (DC), if so requested by the candidate, in accordance with the established guidelines. No anonymous material shall be made a part of any dossier.

b. The application is then reviewed for completeness by the DC and the Department/Division Personnel Committee (DPC) The DPC will consider the evidence, make one written assessment of the strengths and weaknesses of each applicant, append a recommendation if they so desire, and transmit the dossier to the next higher level of review.

c. The Department/Division Chair (DC) shall not participate in the deliberations of the Department/Division Personnel Committee (DPC) nor influence the DPC’s written assessment. The DC shall make a separate and independent assessment and recommendation.

d. In those academic units where the position comparable to that of Department/Division Chair (DC) is filled by a person who is not a member of the Bargaining Unit, that person will not participate in the selection, deliberations and recommendations of the DPC and DC provided in Subsection 2.b. above. Faculty of such academic units shall determine the composition of their DPC upon being convened by the person in the position comparable to the DC. The person in the position comparable to the DC may make an independent assessment, which shall be appended to the recommendation of the Dean/Director or Provost, but which shall not constitute a separate recommendation.

e. The application shall be assigned to one of the Tenure and Promotion Review Committees (TPRC) appointed by the Employer in accordance with Article XIV (applicants should note their right to the Exclusion Option in Section C of that Article). The Employer may seek the advice of the union before appointing Faculty Members to a TPRC. The TPRC shall issue one written report which may include the minority view(s), if any.

f. The dossier is forwarded by the DC to the Dean/Director* who, after making an assessment and recommendation, shall refer it to the TPRC. The TPRC shall review the dossier and make a recommendation, after which the dossier is returned to the Dean/Director for transmission to the appropriate Chancellor. At UH-West Oahu, the dossier is forwarded to the Chancellor, who shall refer it to the TPRC. The TPRC shall
review the dossier and make a recommendation, then return it to the Chancellor.

* The title of the official at this level of review may vary by campus.

g. When the Chancellor disagrees with the recommendation of the TPRC, the Chancellor shall discuss the case with the TPRC before making a recommendation.

h. The Faculty Member shall be notified of the recommendation of the TPRC when it is reported.

i. The Employer will notify the Faculty Member of its decision in accordance with Paragraph H. of this Article.

j. In order to protect and enhance the integrity of the Faculty participation in this process, the DPC, DC, and TPRC shall proceed with the utmost discretion and in a confidential manner. The voting shall be done by secret ballot. The applicant shall not attempt to influence or communicate with the committees or their members. Faculty Members participating in all Personnel Committees have the responsibility for avoiding conflicts of roles by excusing themselves from the process when such conflicts exist.

k. The internal procedures of Department, Division, and Tenure and Promotion Review Committees shall not constitute the basis for a grievance. These procedures may be considered during the negative tenure review process.

l. If a school or college, because of newness, size, or program is not organized with departments or divisions, the Department or Division Personnel Committee shall be dispensed with, and a Faculty Personnel Committee will be constituted for that school or college. If additional Faculty to supplement the committee are desired, the school or college Dean or Provost may appoint Faculty Members from other colleges or schools of the University to serve on an ad hoc basis.
m. At UH-Manoa, if a department or program has fewer than five eligible* tenured Faculty Members, who are available (i.e., not on leave of absence) to serve on the DPC, then the Dean or Director may constitute a Faculty Personnel Committee in consultation with the department chair or program director. This ad hoc Faculty Personnel Committee will be made up of all UH-Manoa tenured faculty with an appointment of .25 FTE or greater in the department or program, and additional tenured Faculty Members from related disciplines.

* Not eligible are Faculty Members serving as department chair or program director of the involved department or program, or those Faculty Members holding Executive/Managerial appointments.

n. For UH-Hilo departments that have six (6) or more full-time Faculty Members, the Division Personnel Committee referred to in Article IX, X, and XI may be composed of personnel in that department. In the formation of the Personnel Committee, the department should avoid inclusion of personnel who are applicants for tenure or promotion, personnel under consideration for contract renewal, and personnel on terminal year appointments. The department may include other Faculty from within the Division in its Personnel Committee. For these departments, the term DC shall refer to Department Chair for purposes of personnel evaluations. Faculty in departments with less than six (6) full-time Faculty Members shall be served by a Division Personnel Committee composed of Faculty from the departments within their Division. For these departments the term DC shall refer to Division Chair for purposes of personnel evaluations.

o. The procedures set forth in this section shall apply to the tenure review process beginning with the academic year 2003-2004.

G. NEGATIVE TENURE ACTIONS

1. In the tenure evaluation process, the Chancellors will notify each Faculty Member whose dossier contains a negative recommendation with respect to the tenure application.

2. When a Faculty Member receives such notice from the Office of the Chancellor, the Faculty Member may, within five (5) calendar days after receiving such notice, inform the Office of the Chancellor in writing of a desire to examine the dossier.

3. Upon receiving the request, the Office of the Chancellor shall provide the Faculty Member an opportunity to examine the dossier within ten (10) calendar days.

4. The Faculty Member may, within ten (10) calendar days after examining the dossier, submit written comments and additional material to the Office of the Chancellor for transmission to the Tenure and Promotion Review Committee. If the TPRC recommendation is positive, the Faculty Member may submit the additional material directly to the Chancellor. The Office of the Chancellor shall notify the TPRC that additional materials have been submitted.

5. The TPRC will consider the comments and additional material submitted by the Faculty Member and incorporate these together with its recommendation in the
dossier. The Chancellor will, after reviewing the dossier and the recommendation of the TPRC, make a recommendation or decision. When the Chancellor disagrees with the recommendation of the TPRC, the Chancellor shall discuss the case with the TPRC before making a recommendation or decision.

6. When a Faculty Member receives written notification from the University, in accordance with Paragraph C of this Article, that the application for tenure has not been granted, the Faculty Member may, within ten (10) calendar days after receiving such notice, inform the Chancellor in writing of a desire to examine the dossier.

7. Upon receiving the request, the Office of the Chancellor shall provide the Faculty Member an opportunity to examine the dossier within ten (10) calendar days.

8. The Faculty Member may within ten (10) calendar days after examining the dossier, or within twenty (20) calendar days of receipt of the written notification if the Faculty Member does not examine the dossier, elect one of two alternative procedures by submitting a request in writing in accordance with the following:

   a. If the Faculty Member believes that this Agreement or the supplemental guidelines and procedures established or approved by the Employer have been violated or misapplied and that such violation or misapplication has adversely prejudiced the application, the Faculty Member may make a written statement to the Union, which specifies the nature of the violation or misapplication, and may request that an appeal of the negative tenure decision be initiated. The appeal shall be filed according to the following procedures:

      i. The Employer and the Union shall select an individual with significant academic background to serve as a Hearing Officer to review the appeal of the Faculty Member. The Union may present on behalf of the Faculty Member any evidence in support of the claim that this Agreement or the supplemental guidelines and procedures established or approved by the Employer have been violated or misapplied and that such violation or misapplication has prejudiced the application.

      ii. If the Hearing Officer does not find a violation or misapplication of this Agreement or the supplemental guidelines and procedures established or approved by the Employer, or, having found a violation or misapplication, does not find that such violation or misapplication has adversely prejudiced the tenure application and decision, the Hearing Officer shall so report.

      iii. If the Hearing Officer determines that the provisions of this Agreement or the supplemental guidelines and procedures which form the basis of the appeal were violated in a significant manner, and further finds that there was a reasonable probability that such violation of procedure in the evaluation process adversely prejudiced the decision complained of, the Hearing Officer shall:

         1. direct that the application dossier be reconsidered; may direct that the reconsideration process commence at any of the levels of review, or that any intervening level of review up to the Chancellor or appropriate Vice President be omitted; and may also direct
that any improper material which has prejudiced the decision be expunged from the dossier; and/or

2. direct that a new TPRC be appointed in accordance with the provisions of this Agreement; or

3. direct that the probationary period be extended for an additional year, notwithstanding the limitations in Article IX and the Faculty Member be permitted to submit a new application for tenure.

iv. In extreme cases, where the Hearing Officer finds that the provision of the Agreement or the supplemental guidelines and procedures which form the basis of the appeal were grossly violated, and such violation seriously prejudiced the decision, the Hearing Officer may submit findings in a report to the Employer and the Union. The report may include a recommendation that tenure be granted.

v. The Hearing Officer shall report findings of fact, conclusion, and recommendations to the Employer and Union within thirty (30) days of the close of the hearing.

vi. Upon the receipt of the report of findings, the Employer shall, after a review of the report, make a decision within a reasonable time whether to award tenure or remand the matter for reconsideration as directed by the Hearing Officer. The Employer shall notify the Union of its decision, and if requested, a statement of reasons will be provided should the Employer not grant tenure pursuant to the recommendation of the Hearing Officer.

7) In the event that the President disagrees with the conclusions of the Hearing Officer, the President will complete a full review of the procedural and substantive issues involved at each stage of the process. The President will provide a full accounting of the basis for the decision rendered, prior to forwarding any recommendation to the Board of Regents. The rationale for the decision must be transmitted by the President to the applicant. Upon the completion of the reconsideration as directed by the Hearing Officer, the decision of the Employer shall be final and binding on all parties.

8) The fees of the Hearing Officer and other costs related to the hearing shall be shared equally by the Employer and the Union.

b. In the alternative, the Faculty Member may request a meeting with the Administrator who notified the Faculty Member of the negative decision. In such event, the Administrator shall meet with the Faculty Member.

1) If the Faculty Member then wishes to appeal the decision and request a reconsideration on the substance of the application, the Faculty Member may submit the request together with any additional materials within ten (10) calendar days after such meeting.

2) If the recommendation of the TPRC in the review process has been positive, the Employer shall, at the request of the Faculty Member, appoint a special
committee to review the case and make recommendations on any specific, substantive aspects of the application referred to it. In the review process the special committee shall be free to meet with the Faculty Member and the Administrator as it deems necessary. It shall act with discretion and due consideration for the confidentiality of the matter involved. The special committee shall be made up of four members selected by the Employer after consultation with the Chair of the TPRC, if available, and the Chair of the Faculty Member's department, division, or equivalent unit.

3) At the conclusion of the reconsideration process, the Employer will notify the Faculty Member of its decision. If the decision remains negative, and if the Faculty Member so requests, the Employer will provide the Faculty Member with a statement of reasons for the decision. The decision of the Employer shall be final.

c. Neither the procedures nor the decisions arising out of Section H.8.a. and b., Negative Tenure Actions, shall be subject to further review under Article XXIII, Grievance Procedure.

H. NOTICE OF RESIGNATION

Because it is especially difficult for the Employer to replace Faculty Members on short notice, good professional practice requires that a Faculty Member who expects to resign should give notice of the intention well in advance.

I. APPOINTMENT OF FACULTY MEMBERS TO ADMINISTRATIVE DUTIES & ADMINISTRATORS TO FACULTY DUTIES

1. University of Hawaii Faculty Members holding tenure who are appointed to administrative positions will retain their academic title and full right to return, not to exceed seven (7) continuous years, at the termination of the administrative appointment to their academic position on a full-time basis, with the same tenure rights as others holding a similar rank. The Employer may assign Faculty Members holding tenure who have served more than seven (7) continuous years in an administrative position to vacant faculty positions on a full-time basis, with the same tenure rights as others holding a similar rank.

2. Faculty Members who assume administrative duties prior to the award of tenure shall retain their academic title. While serving in administrative positions, Faculty Members will not automatically continue to accumulate probationary credit toward tenure, but will retain the right to return in probationary status to their academic position at the termination of the administrative appointment.

3. Upon return to the academic position from an administrative position, a Faculty Member's salary in Rank will be that which most closely corresponds with that which would have been received had the Faculty Member not assumed administrative duties (taking into account such increases as would have been received in the interim) with such adjustments as may be equitable under the circumstances.

4. Administrators shall not be appointed to positions traditionally filled by faculty members, except by written consent of the Union, which consent shall not be
unreasonably withheld in case of bona fide emergency appointments to last no more than one (1) month.

5. When participating as members of the faculty, including temporary duty as department chairs or equivalent positions, administrators shall recuse themselves from any meeting, action, appointment, or deliberation, whether convened or caused by the Employer, this Agreement, or the department, which involves hiring, tenure, promotion, or discipline.

J. LOCUS AND TRANSFER OF TENURE WITHIN THE UNIVERSITY OF HAWAII

1. Locus of Tenure

Tenure is granted at one of the campuses of the University System. At the UH-Manoa Campus, tenure is further limited to a given college, school, or organized research or service unit. At the other campuses, similar distinctions shall be made with tenure granted at a college or major service or program unit.

While UH-West Oahu shares the campus with Leeward Community College, tenure will continue to be awarded at the respective colleges.

2. Tenure on One Campus

Although a Faculty Member can hold joint appointments on two campuses, tenure at only one campus shall be held at any given time. (Note: For the rules below, the University of Hawaii campus a person leaves is called Campus 1 and the campus to which the Faculty Member goes is called Campus 2. These terms are general and so apply as stated if a Faculty Member returns to the original base, which then becomes Campus 2.)

3. Immediate Tenure

The Employer may grant a tenured Faculty Member transferring from Campus 1 to Campus 2 immediate tenure at Campus 2. Accepting tenure at Campus 2 automatically voids tenure at Campus 1.

4. Transfer of Tenured Faculty

Tenured Faculty may be transferred from one locus of tenure on a Campus to another, or from Campus 1 to Campus 2 within the UH system. The transfer of tenured Faculty may be initiated for the following reasons:

a) at the request of the individual Faculty;

b) at the request of the Employer; or

c) as the result of the transfer of a program from Campus 1 to Campus 2.

If the individual Faculty Member requests transfer from Campus 1 to Campus 2, the Employer may [grant immediate] transfer tenure to the Faculty Member on Campus 2.
Accepting tenure at Campus 2 automatically voids the Faculty Member’s tenure at Campus 1.

If tenure is not transferred to Campus 2, the Faculty Member will be granted a leave of absence from the tenured position at Campus 1 for one (1) year; the leave may be extended for one (1) additional year. The Faculty Member will lose tenure at Campus 1 if he/she does not return after two (2) consecutive years encompassed by that leave.

Faculty Members may be transferred from one campus to another at the request of the Employer with the transfer of tenure to Campus 2.

A Faculty Member appointed to an administrative position on another campus shall be granted a leave of absence from the tenured position at Campus 1 for up to two (2) years. The Faculty Member will lose tenure at Campus 1 if he/she does not return after two (2) consecutive years on leave.

5. Transfer of Programs

If a program of the University System is transferred from one campus to another, Faculty Members engaged in the program shall have the right of first refusal to appointment in the program at Campus 2. Faculty Members who elect to transfer retain their rank and their tenure status or probationary service credit toward tenure. If they do not wish to transfer from Campus 1, every effort shall be made to find an appropriate appointment on Campus 1 or at another campus in the University System.

The conditions of all transfers shall be set forth in writing and signed by the Faculty Member, the administration, and the Union.

ARTICLE XIII, PROMOTION

A. GENERAL

Any Faculty Member shall upon application be considered for promotion in any year in accordance with guidelines established by the Employer. Criteria shall be in writing and shall be distributed in the guidelines and procedures provided to the applicant along with the promotion application forms and shall be the basis on which judgment for consideration of promotion shall be made. [At UH-Manoa, the Office of the Executive Vice Chancellor will provide the administrative coordination for this process.]

B. PROCEDURES FOR RECOMMENDING PROMOTION

1. The application for promotion is prepared by the candidate in consultation with the Department/Division Chair, if so requested by the candidate, in accordance with the established guidelines. No anonymous material shall be made a part of any dossier.

2. Should there be a substantial change in the promotion criteria in the year of application, the candidate shall have the option of being considered under the criteria contained in the year.
3. Procedures and provisions described in Article XI, [K.]F.2, Paragraphs [b] through [n], shall apply for promotion as well as tenure, except as otherwise provided in this Article.

4. The Employer will notify the Faculty Member of its decision in writing normally no later than June 30. The promotion, if granted, will be effective as of July 1, even if the decision and notification are made after June 30.

C. SALARY UPON PROMOTION

Faculty Members promoted in accordance with this Article shall have their salary increased by 8%, provided that such increase shall not be less than necessary to place them at the minimum salary of the next Rank set forth in the appropriate salary schedule appendix (see R-16 of Reference Section) for Article XX to which they are promoted. In the event the increase of 8% should exceed the maximum salary on the next higher Rank, the increase of the amount beyond the maximum shall be subject to the approval of the President.

D. NEGATIVE RECOMMENDATION

1. In the promotion evaluation process, the Chancellors [or Provosts and the Executive Vice Chancellor at UH-Manoa (hereinafter referred to in this section only as the Administrator)] will, after receipt of the Tenure and Promotion Review Committee (TPRC) report, notify each Faculty Member whose dossier contains a negative recommendation with respect to the promotion application.

2. When a Faculty Member receives such notice from the [Administrator] Office of the Chancellor, the Faculty Member may, within ten (10) calendar days after receiving such notice, inform the [Administrator] Office of the Chancellor in writing of a desire to examine the dossier.

3. Upon receiving the request, the [Administrator or the Administrator's designee] Office of the Chancellor shall provide the Faculty Member an opportunity to examine the dossier within ten (10) calendar days.

4. The Faculty Member may, within ten (10) calendar days after examining the dossier, submit written comments and additional material to the [Administrator] Office of the Chancellor for transmission to the TPRC. If the TPRC recommendation is positive, the Faculty Member may submit the additional material directly to the Chancellor. The Office of the Chancellor shall notify the TPRC that additional materials have been submitted.

5. The TPRC will consider the comments and additional material submitted by the Faculty Member and incorporate these together with its recommendation in the dossier. When the [Administrator] Chancellor disagrees with the recommendation of the TPRC, the [Administrator] Chancellor shall discuss the case with the TPRC before making a recommendation or decision. The [Administrator] Chancellor will, after reviewing the dossier and the recommendation of the TPRC, make a recommendation or decision.

6. When a Faculty Member receives written notification from the Employer in accordance
with Section B, that the application for promotion has not been granted, the Faculty Member may, within ten (10) calendar days after receiving such notice, inform the [Administrator] Office of the Chancellor in writing of a desire to examine the dossier.

7. Upon receiving the request, the [Administrator or the Administrator's designee] Office of the Chancellor shall provide the Faculty Member an opportunity to examine the dossier within ten (10) calendar days.

8. The Faculty Member may, within ten (10) calendar days after examining the dossier, or within twenty (20) calendar days of receipt of the written notification if the Faculty Member does not examine the dossier, request a meeting with the Chancellor [or Executive Vice Chancellor at UH-Manoa.] In such event the Chancellor [or Executive Vice Chancellor at UH-Manoa] shall schedule a meeting with the Faculty Member within ten (10) calendar days.

E. PROMOTION REVIEW PANEL (PRP)

1. For the purpose of providing assistance and advice on certain cases [which] that come before the President in accordance with the provisions of this Article, Promotion Review Panels (PRP) to be made up of senior, experienced, and knowledgeable persons in the University shall be established.

2. Promotion Review Panels of three (3) to five (5) members shall be appointed by the President of the University or the President's designee, with the concurrence of the President of the Union or a senior Faculty Member duly designated by the Union's President. In making their selections, they shall abide by exclusions of persons made by the Faculty Member as set forth in Article XIV, Section C. Exclusion Option.

Separate Promotion Review Panels shall be established for the University of Hawaii at Manoa, University of Hawaii at Hilo and University of Hawaii at West Oahu, and the Community Colleges. More than one Panel may be established for each of these constituencies.

3. A PRP may be convened in the following situations, upon compliance with the procedures set forth in this Article:

a. When the TPRC has recommended in favor of promotion and the Chancellor [or Executive Vice Chancellor at UH-Manoa] has decided against promotion;

b. When the Chancellor [or Executive Vice Chancellor at UH-Manoa] has recommended in favor of promotion (irrespective of the recommendation of the TPRC), and the President has reservations about acting favorably upon the recommendation to promote;

c. When the TPRC has recommended against promotion and the Chancellor [or Executive Vice Chancellor at UH-Manoa] has decided against promotion, but the Referee, as provided in Section J below, has found that there was a significant procedural violation [which] that probably contributed in a material way to the negative decision.
F. REVIEW BY PROMOTION REVIEW PANEL UPON REQUEST OF FACULTY MEMBER

The applicant may request a review of the case by a Promotion Review Panel in situations in which the TPRC had recommended in favor of promotion and the Chancellor [or the Executive Vice Chancellor at UH-Manoa] had decided against promotion. Such request must be made in writing, within five (5) calendar days after the meeting with the Chancellor [or the Executive Vice Chancellor at UH-Manoa].

The Faculty Member may, in connection with the request, submit additional materials not duplicative of materials in the dossier or previously submitted. The Chancellor [or the Executive Vice Chancellor at UH-Manoa] shall transmit the dossier and such additional materials to the PRP.

G. REVIEW BY PROMOTION REVIEW PANEL UPON REFERRAL BY THE PRESIDENT

In those situations in which the TPRC and the Chancellor [or the Executive Vice Chancellor at UH-Manoa] have both recommended in favor of promotion, or in which the TPRC has recommended against promotion and the Chancellor [or the Executive Vice Chancellor at UH-Manoa] has recommended in favor of promotion, and the President has reservations about acting favorably on the recommendation to promote, the President shall refer the application dossier to the PRP for its review and report before rendering a decision.

H. FUNCTION OF PROMOTION REVIEW PANEL

The PRP shall consider the application dossier, and where applicable, the Referee's report, as well as such additional materials as may be submitted in accordance with the provisions of this Article. It will make a finding on the substantive aspects of the application in the context of the Collective Bargaining Agreement and the Promotion Guidelines, and respond to the question: "Has the Applicant made a persuasive case for promotion?"

The PRP may request additional information from both the Faculty Member and from the Chancellor [or the Executive Vice Chancellor at UH-Manoa] in those cases in which the Chancellor [or the Executive Vice Chancellor at UH-Manoa] had rendered a negative decision, or from the President or the President's designee in those cases referred to it by the President. Such information may be requested in the form of written or oral statements, provided that both the Faculty Member and the Administrator are given equal opportunity to respond and that they use the same form of communication to present their cases. The PRP may also meet with the President or the President's designee before submitting its report. Other than for these meetings the PRP will review the case on the basis of the written record, in the context of the provisions of this Article and the Promotion Guidelines. The PRP will consider each case according to its own merits, without comparison or contrast with any other case.

The PRP will submit its report within thirty (30) calendar days after meeting with the Chancellor[, Executive Vice Chancellor, and/or the President to the Office of the President for inclusion in the dossier. Any member of the PRP may submit an individual report [which] that the PRP shall incorporate with its report.

The Employer will notify the Applicant of the report of the PRP, if negative, and of the
decision of the President, if negative. Within ten (10) calendar days after receiving such notice, the Applicant may submit a request in writing to the Office of the President for an opportunity to examine the dossier, and arrangements will be made to provide such opportunity. Additionally, if the Applicant so requests, the Employer will provide the Applicant with a statement of reasons for the decision.

In the event that the President disagrees with the conclusions of the PRP, such a decision must include a full review of procedural and substantive issues at each stage of the process. The rationale for the decision will be transmitted to the applicant.

I. PANEL OF REFEREES
Referees shall be utilized to assist in expediting the consideration of allegations of procedural violations in situations in which the TPRC has recommended against promotion and the Chancellor [or Executive Vice Chancellor at UH-Manoa] has decided against promotion.

A panel shall consist of five (5) referees to be jointly selected by the President of the University or the President's designee and the President of the Union or a senior Faculty Member designated by the Union's President, for each of the four (4) years of this Agreement. The referees shall be selected from among persons with experience in and knowledge of the University. These persons may be from within or without the University.

Assignment of a referee to review a given case shall be by rotation, and the next available referee shall be requested by the Chancellor [or Executive Vice Chancellor at UH-Manoa] to review the case.

J. REFEREE REVIEW OF PROCEDURAL MATTERS

1. Request for Referee.

In situations in which the TPRC had recommended against promotion and the Chancellor or Executive Vice Chancellor at UH-Manoa has decided against promotion, the Applicant may, within five (5) calendar days after meeting with the Chancellor [or Executive Vice Chancellor at UH-Manoa], submit a written request to the Chancellor [or Executive Vice Chancellor at UH-Manoa] that the case be reviewed by a referee, if the Faculty Member believes that a procedural error occurred which may have affected the case in a negative manner. The request shall include a statement of the particular procedural provision in this Article of the Collective Bargaining Agreement or the Promotion Guidelines which has been violated, and the manner in which the violation has contributed to the negative decision.


The Chancellor [or Executive Vice Chancellor at UH-Manoa] shall forward the request to the next available referee who shall, within ten (10) calendar days of receipt of the request, submit a written report to the Chancellor [or Executive Vice Chancellor at UH-Manoa].

The Chancellor [or Executive Vice Chancellor at UH-Manoa] shall provide the Applicant with a copy of the Referee's report.
If the Referee's report is in the negative as to either aspect of the question set forth below to be answered by the Referee, the case shall be terminated.

If the Referee's report is in the affirmative as to both aspects of the question addressed, the case shall be submitted to the Promotion Review Panel (PRP), if the Applicant so requests in writing to the Chancellor [or the Executive Vice Chancellor at UH-Manoa] within five (5) calendar days of receipt of the Referee's report. The Applicant may submit additional materials to the Chancellor [or the Executive Vice Chancellor at UH-Manoa] for transmission to the PRP, not duplicative of materials already in the dossier or previously submitted.

3. Function of the Referee.

The Referee, in reviewing the case, shall consider the Collective Bargaining Agreement and the Promotion Guidelines for the year in question as well as the application dossier and the additional materials submitted by the Applicant. The Referee shall not conduct a formal hearing but may have discretion to interview the Applicant and any person who had an official role in the evaluation process.

The Referee's report shall respond to the following question:

"Has there been a significant violation of the particular provision of the Collective Bargaining Agreement or Promotion Guidelines as alleged, and if so, is there a reasonable probability that the violation of procedure contributed in a material way to the negative decision?"

The Referee shall not otherwise add to, subtract from, disregard, alter, or modify any of the terms of the Agreement or the Guidelines. The Referee's report must be consistent with the terms of the Agreement and the Guidelines. The Referee shall consider each case according to its own circumstances, without comparison or contrast with any other case.

K. CONFIDENTIALITY OF PROCEEDINGS

The integrity and confidential nature of the promotion evaluation process shall be maintained. Other than for the personal examination of the dossier, meetings as provided for in this Article, and the submission of materials as provided for in this Article, the Applicant shall not otherwise attempt to influence or communicate with persons engaged in the evaluation and review process.

L. CONCLUSION OF PROCESS

A principal purpose of the promotion evaluation process set forth in this Article is to provide the Applicant with a final decision reached in a careful yet expeditious manner. Such decisions and the provisions of this Article shall not be subject to the formal grievance procedure.
Appendix D -- Vignettes of Promotion and Tenure Profiles

This document is intended solely as a guide for the applicants, personnel review committees and administrators. It does not supersede, extend, or modify any policy statement of the University of Hawai`i System, or the contract between University of Hawai`i Professional Assembly and the Board of Regents of the University of Hawai`i (The Contract).

In the case of any conflict between this document and any policy of the University System or The Contract, the language contained in the policy or the Contract shall govern in all cases.

The language used in this document should not be construed as creating a contract, express or implied, between the University System and any of its employees or a guarantee of employment for any specific duration.

These guidelines are to be used to guide candidates, the various committees and the administration in the final decision-making process regarding Contract Renewal, Promotion and Tenure.

PURPOSE AND OVERVIEW

The purpose of this document is to provide guidance to faculty in pursuit of contract renewal, promotion and tenure as well as to provide guidance to the personnel committees that will evaluate faculty. The criteria discussed herein are designed to ensure a fair and meaningful evaluation process. In addition to the information contained in this document, committee members and, in particular, candidates are referred to the guidelines and other information contained in the current agreement between the University of Hawai`i Professional Assembly and the Board of Regents of the University of Hawai`i.

Minimum requirements in teaching, discovery and creativity, and service may be met in one of the following four ways:

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<tr>
<th>1. High quality teaching</th>
<th>2. High quality contributions in scholarly activities and demonstrated competence in service</th>
<th>1. High quality teaching</th>
<th>2. A balance of contributions in scholarly activities and service that substantially exceeds the minimum requirements of demonstrated competence</th>
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<tr>
<td>1. Exceptional teaching</td>
<td>2. Demonstrated competence in scholarly activities and service</td>
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These guidelines also serve for contract renewal in the sense that candidates for contract renewal should demonstrate steady and observable progress during the probationary period toward building a case for tenure.
EVALUATION CRITERIA

The following are suggested activities or outcomes that may be appropriate within the three areas of endeavor as evidence that minimum requirements have been met. These lists are by no means exhaustive, but merely representative. It is the responsibility of the faculty member to provide documentation of the detailed nature of each activity, as well as its effectiveness, importance, quality and/or impact. Candidates and personnel committees may use their own judgment in allocation of work accomplished to one or another category.

Individual faculty are encouraged to pursue those activities in which their talents will allow them to make the greatest contribution. A variety of activity profiles may therefore be used to satisfy minimum requirements; this document will set forth models as guidelines for evaluation.

In addition, promotion to associate professor and to full professor require different standards. In general, promotion to associate professor requires preliminary evidence and promise of the attainment of a distinctive academic reputation in the field; whereas, promotion to full professor requires indisputable evidence of such reputation.

VIGNETTES OF SUCCESSFUL PROFILES

The following representative profiles are provided as models for the candidate and review committees as illustrations of several of the many ways in which requirements may be successfully satisfied.

Case 1:

Assistant Professor W is seeking promotion to the rank of associate professor by presenting evidence of high-quality teaching, high-quality contributions in scholarly activities and demonstrated competence in service. His dossier includes the following:

Activities Relating to Teaching:
Student evaluations from all courses taught in the last five years. Of 30 sections evaluated, only four had a mean for "compare instructor with others" that was below the norm for Professor W's division.
The syllabus developed for a revised course for non-majors, along with an explanation of a new approach toward presenting the field to non-majors, was consistent with national trends, and resulted in improved student performance in the course.
Evidence that Professor W played a key role in the curricula revisions of his department two years ago.
Evidence that Professor W attended a short course over the summer on new developments in his field.

Activities Relating to Scholarship and Research:
Five articles published regularly over the last five years in refereed journals (two of them national journals) in Professor W's field.
Evidence that Professor W was invited to give a presentation at a national meeting of researchers in his field.
Evidence that Professor W provided state-of-the-art expertise as a professional consultant to a company/agency engaged in business related in his research area. An award of $20,000 in research funding to Professor W from sources external to the University of Hawai‘i. Later proposals for additional funding were not successful.

Activities Relating to Service:
Member of the Curriculum Review Committee for three years, serving as chairperson for one year.
Election two years ago as regional membership chairperson of a national professional organization in his field.

Based upon an assessment of Professor W's ongoing activities, it is likely that the review committees would feel that he has demonstrated promise of the attainment of a distinctive academic reputation in the field, and would recommend that he be awarded tenure and promotion.

Case 2:

Associate Professor X is seeking promotion to the rank of professor by presenting evidence of high-quality teaching, high-quality contributions in service and demonstrated competence in scholarly activities. Her dossier includes the following:

Activities Relating to Teaching:
Student evaluations from all courses taught in the last five years. Of the approximately 30 class sections evaluated, less than five had a mean for "compare this course with others you have taken" that was below the norm for Professor X's division.
Over a five-year period, records indicate that Professor X supervised three student research projects, the results of two having been presented at an annual Big Island Science Conference.
Records indicate that Professor X offered four directed study courses over the last four years.
Professor X was instrumental in her department's introduction of computer technology in classroom instruction.

Activities Relating to Scholarship and Research:
Three articles published over the last five years in refereed journals in Professor X's field.
The presentation of four invited talks to local groups on topics within Professor X's field of expertise.
The presentation of two abstracts at national meetings of societies relating to Professor X's field of study.
Three consultant reports over the past five years which deal with material within Professor X's area of study.

Activities Relating to Service:
Membership on an advisory committee to the State Civil Defense Agency.
Membership on the Faculty Senate for three years, and service as senate chair for one year.
Faculty (division) representative to the University of Hawai‘i Professional Assembly for a three-year period.
Service as department chair for a three-year period.
For a two-year period, member of the executive committee of a local chapter of a national organization related to Professor X's field.
Member of an ad hoc committee for long-range planning appointed by the Chancellor.
Service as a reviewer for two journals.

Based upon an assessment of Professor X's achievements, it is likely that the review committees would feel that she has presented good evidence of having achieved a distinctive academic reputation in the field, and would recommend that she be awarded.

Case 3:

Assistant Professor Y is seeking promotion to the rank of associate professor by presenting a case that demonstrates balance between research and service coupled with high-quality teaching.

Activities Relating to Teaching:
Student evaluations since his last promotion have been near the norms for Professor Y's division. Occasionally they have been somewhat below the norms, but at least as often they are substantially above the norm. The evaluations are consistent across lower division and upper division courses as well as across required and elective courses. The written evaluations provided by students confirm the numerical evaluations. While some students found him a bit dry, others are enthusiastic and felt that they learned much in his courses.
During his last five years of teaching at UHH, Professor Y has assumed primary responsibility for one area of instruction in the department. Two new courses have been offered during this period, and Professor Y was responsible for their development.
Professor Y served on two panels at national meetings in which the use of new technologies for teaching was the topic.
Professor Y has always demonstrated a willingness to teach courses outside of his normal area when the need arose. Twice he taught a course for a colleague who was on leave.

Activities Relating to Scholarship and Research:
The research record for Professor Y shows that he has published four articles in academically-refereed journals since his last promotion. One article appeared in a journal regarded to be among the best three in the areas that Professor Y's department represents. The other three articles were in less prestigious and more narrowly focused regional journals.
Each year, except for one year, a presentation was made at the most widely attended national meeting in his field.
Professor Y has written three proposals for external research funding, none of which were funded.

Activities Relating to Service:
Professor Y served as a member organizer for a regional meeting of a national association. He also chaired sessions at three meetings of academic societies. At the university level, Professor Y has served on the CAS Senate for two years and on the Admissions Committee for one year. He was also a member of the Ad Hoc Committee to design a UHH mascot.

Professor Y works well at committee assignments within the department. He has volunteered to administer the department's computer research and training laboratory for the past three years.

During the past five years, he has given seven presentations to local and state groups on topics related to his teaching and research. He presently serves on an advisory committee for a non-profit organization related to his area of expertise.

Based upon the review of Professor Y's achievements to date, it is likely that the review committees would feel that he has demonstrated promise of the attainment of a distinctive academic reputation in the field, and would recommend that he be awarded promotion with tenure.

Case 4:

Associate professor Z is seeking promotion to the rank of full professor by presenting a case of exceptional teaching and demonstrated competence in scholarly activities and service. Her dossier includes the following:

Activities Relating to Teaching:
Student evaluations from all courses taught in the last five years. Of 30 sections evaluated, only one had a mean for "compare instructor with others" that was below the norm for Professor Z's division, and the majority were well above the mean.

Letters from two of Professor Z's colleagues who have sat in on her classes on a regular basis within the last five years which attest to the exceptional quality of her classroom instruction.

The publication of a laboratory manual two years ago by a national publisher; the book was written to accompany a current textbook in Professor Z's field.

An award of a $4,000 grant which was used to develop the laboratory for which the above-mentioned manual was written.

Service on a national committee three years ago to review curricula in Professor Z's area.

Unsolicited letters from six former students which reflect high regard for Professor Z's teaching, and attest to the importance of her contribution to their success.

Activities Relating to Scholarship and Research:
Three articles in refereed journals, one of them being within the past five years.

A chapter contributed by Professor Z in a book that surveys recent results of research in her field.

The presentation of the results of research endeavors at a regional conference.

Activities Relating to Service:
Service on Faculty Senate for one term.
Service on the Academic Affairs Committee for three years.
Service as acting department chair for two different semesters during the past five years.

Given the review of Professor Z's ongoing activities, it is likely that the review committees would feel that she has presented sufficient evidence of a distinctive academic reputation in her field, and would recommend her for promotion to professor.
Appendix E -- Dossier Preparation

INTRODUCTION

The process by which a University of Hawaii at Hilo faculty member receives tenure may be the most important experience of his or her professional career. Likewise, because academic tenure carries with it the expectation of continuous appointment to the faculty, the decision is equally important for UH Hilo and your colleagues. Much the same can be said for the academic promotion process.

To provide all evaluators with adequate time to consider your application, the University has established the deadline date shown on the attached personnel calendar by which you must have completed and submitted your application to the chair of your DPC. Because the quality of the permanent faculty is the University's most important resource, the personnel review process is essentially conservative. Both faculty and administration evaluators will be asking the question, "Has a clear and convincing case been made for tenure and/or promotion?" The answer must be yes if positive recommendations are to be made.

The application form is the means by which you present the evidence on which your case for tenure and/or promotion is judged. These instructions have been written to assist you in the preparation of your application.

GUIDELINES FOR PREPARING THE APPLICATION

Your application is the means by which you inform those involved in the review process of your achievements and ability. Therefore, your application should contain as much objective evidence as possible. If you decide to include letters of support from colleagues, students or others as a part of your application, for example, it is wise to select those that evaluated specific contributions or achievements, rather than those which simply express the opinion that you are deserving. The reviewers of your application are required to make their own assessment of your record, and specific information is more useful than general statements. As a general rule, objective information is better than subjective information, brevity is better than excessive verbiage and quality is better than quantity.

Parts II, III and IV of the application form must be completed. If you have questions about any of these parts, ask your DC.

Parts II and III provide the information found in many curricula vitae but in a standard format which includes the specific information which reviewers have requested.

Part IV is where you describe the specific achievements and abilities on which you base your application. Some guidelines with respect to Part IV follows:

A. GENERAL FORMAT OF PART IV: To provide you with the greatest flexibility to describe your situation, Part IV requests that you prepare two STATEMENTS regarding your work. As shown on page 4.1, the first is a statement of your endeavors. You are free to describe your work in any form which you consider appropriate. You should give a well-documented and clear report of your teaching, academic advising, research and/or scholarly and/or creative activities, service and achievements. Your statement should be more than a list of activities. Where
appropriate, you should provide information which would enable the reviewers to analyze separately the quality and impact of your teaching, professional and service activities.

The second statement is one describing your plans for the future as a member of the faculty at UH Hilo. This statement should contain an extrapolation of your current activities and a realistic prediction of your future plans and activities. You might include, for example, plans for future curriculum development, innovative teaching, your current and future research and/or scholarly and/or creative activity plans, your plans to help your department or division meet the UH Hilo mission and long-range goals and your long-range career aspirations.

The third section of page 4.1 calls for a summary of materials which are submitted in support of the two statements but which would distract the reader if they were placed directly within the statements.

The pages which follow contain information to assist you in preparing these statements and assembling the supporting materials.

**B. PAGINATION:** For your own protection, be sure that every page of material you submit has a page number, starting with 4.1 and proceeding sequentially. To guard against the loss of any material, enter the number of the last page submitted in the appropriate space on page 4.1 of the application.

**C. SUPPORTING MATERIALS:** Materials that support your application may be included as supplements to your dossier. These materials should be referenced in the Table of Contents as Appendices with the application form itself containing only summaries. For instance, your application might contain a summary in the form of a table of the results of student evaluations while the actual evaluation forms and computer printouts remain either in an appendix.

Similarly, your application might contain a bibliography (or list of art exhibitions or dramatic performances) while the actual articles or programs are in an appendix. The appendices need not, and should not accompany the application. But they should be kept in the appropriate Division or College Office and be available to the evaluating parties. This results in an application of manageable size while assuring that the more detailed documents are available if needed. The completed dossier without separate appendices should fit comfortably into a two-inch three-ring binder.

**TEACHING**

You must have documented evidence of your teaching ability, usually by means of teaching evaluations, covering all of the courses you have taught in recent years. Use standard evaluation procedures, normally the UHH Perceived Teaching Effectiveness Form. Special recognition by awards or citations for excellence in teaching should be recorded.

All faculty are expected to engage in learning outcomes assessment. Your contributions in this area and the results of those evaluations should be summarized in the Application and documented in the supplemental materials. Another aspect of instruction is the development of asynchronous instructional tools and materials.
Evidence of progress over the years in the scope, depth and effectiveness of your teaching may be helpful to reviewers in evaluating your maturity as an instructor. Instructional materials including books, special presentations, new teaching methods should be presented as indicators of teaching excellence. Moreover, syllabi, course outlines and examinations might be included in the supplementary materials if they help to illustrate your approach to establishing.

The influence of faculty members extends beyond the classroom. Since academic advising is an important part of each faculty member's responsibilities, it is helpful to offer evidence of activities and effectiveness both during formal advising and serving as a mentor for both academic success and career development.

**CREATIVE AND DISCOVERY ACTIVITIES**

A continuing commitment as a contributor to the discipline and the profession is an important measure of the UH Hilo instructional faculty member. The breadth with which this requirement has been interpreted at UH Hilo reflects an institutional belief that professional vitality in a "teaching institution" may take many forms. Depending upon the situation, evidence both of finished products and of ongoing activities may be considered.

Peer reviewed publications and performances are the most common most widely accepted means of demonstrating this commitment. Description of your activities might include brief statements about each project on which you are working or have worked, the nature of external or intramural support, names of collaborators, etc. Bibliographies should be in a citation format standard to the discipline and should be separated into the categories mentioned in the Annual Report Form. Additional categories may be included if needed. Within each category, list your works in order of publication or completion, with the most recent works first. Make a clear division between work published or completed since your initial appointment and earlier work. For each item, give a complete citation and, where there are multiple authors, list the authors in the order in which they appear in the article and comment on the extent of your role in the project. Reprints, announcements, programs, recordings, etc. should be included in the supplementary materials.

Other forms of evidence of your contributions to the profession include honors (such as fellowships, visiting lectureships and invitations to organize or participate in symposia, conferences or workshops), invitations to be a professional referee, judge or reviewer, election to honorary societies and editorial boards and special awards or prizes.

Faculty members in the fine arts frequently demonstrate their contributions to the profession by citing works of art, literature, drama or music and when and where performed or displayed. Juried exhibits should be separately noted. The nature of the creative activity (composition, conducting, directing, etc.) should be noted. Performances of the work of others should be included if they represent the creative contribution of the performer. Copies of invitations to exhibits, programs, manuscripts, etc. are usually placed in appendices. External critiques by professional reviewers are particularly welcome. In some cases, your contribution may be demonstrated by continuing activity rather than by a specific product. In this case, you should include detailed descriptions of your current activities and the manner in which they maintain currency in the profession. If they are expected to produce a definite result, you might wish to estimate when the final outcome will be achieved and what form it might take.
3. **UNIVERSITY/COMMUNITY SERVICE:**

The third role expected of UH Hilo faculty members is that of resource to the University, the community and the profession. Such service should either be in one of your areas of academic training or expertise or should be directly related to your position as an academician. Notable examples of service would include, but are not restricted to: (1) effective and imaginative participation in university governance, in the formulation of department, division and college policies, and in physical planning, (2) service to the community, state, national and/or international agencies in a candidate's capacity as an academician, (3) contributions to student welfare through service on student-faculty committees and as advisor to student organizations, (4) service as a consultant to government, educational institutions, industry, or professional societies beyond that considered under scholarly activities, etc.

Service contributions are best described by short statements of the nature, amount, quality and outcome of the service. Supporting documents in the appendices are helpful if they include written assessments by qualified colleagues, supervisors, and others. In cases where the service results in a product (such as a report or a new policy), a copy of the product and a description of your contribution can be helpful.

**SOME FINAL SUGGESTIONS**

1. Allow yourself enough time to do a complete, accurate job of preparing the application.

2. Remember who will be reading the application. Make it readable, concise, easy to follow and sufficient in terms of depth, scope and accuracy.

3. Do not hesitate to ask questions of your senior colleagues, your Division Chair, or the Dean.
### Appendix F – 2003-04 Calendar for Personnel Actions

<table>
<thead>
<tr>
<th>Date</th>
<th>Contract Renewal</th>
<th>P &amp; T</th>
<th>Evaluators</th>
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</thead>
<tbody>
<tr>
<td>8/11/03</td>
<td>Submission deadline for waiver of minimum qualifications</td>
<td></td>
<td></td>
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<tr>
<td>8/29/03</td>
<td>Submission deadline for change of probationary period</td>
<td></td>
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<tr>
<td>9/12/03</td>
<td>Exclusion option deadline</td>
<td></td>
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<tr>
<td>10/10/03</td>
<td>Committee election complete</td>
<td></td>
<td></td>
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<tr>
<td>10/17/03</td>
<td>Submit application and annual report to DPC</td>
<td>Submit application and dossier to DPC</td>
<td></td>
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<tr>
<td>11/7/03</td>
<td>Forward instructor and 2nd year renewals to DC</td>
<td></td>
<td></td>
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<tr>
<td>11/28/03</td>
<td>Forward P&amp;T dossiers to DC</td>
<td>Forward instructor and 2nd year renewals to Dean</td>
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<tr>
<td>12/5/03</td>
<td>Submit application and annual report to DPC</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12/15/03</td>
<td>Forward P&amp;T dossiers to Dean</td>
<td>Notification of renewals for Instructors and 2nd year tenure track</td>
<td></td>
</tr>
<tr>
<td>1/16/04</td>
<td>Forward post 2nd year renewal applications to DC</td>
<td>Forward P&amp;T dossiers to TPRC</td>
<td></td>
</tr>
<tr>
<td>2/6/04</td>
<td>Forward post 2nd year renewal applications to Dean</td>
<td>Forward P&amp;T dossiers to VCAA through Dean</td>
<td></td>
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<tr>
<td>2/27/04</td>
<td></td>
<td>Notification of post 2nd year renewals</td>
<td></td>
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</table>
UNIVERSITY OF HAWAII AT HILO

APPLICATION FOR TENURE AND/OR PROMOTION

PART I. To be completed by the Applicant.

Name of Faculty Member

Division or Unit

Current Rank/Step

Date of Current Rank

[ ] If there has been a waiver of minimum qualification(s), check the box and attach documentation immediately following this page.

If any part of this application is for tenure, consideration is (check one):

___ A. Based upon the applicant being in the final year of probationary service.

___ B. Prior to the final year of probationary service (Approval from the UH Hilo Chancellor must be attached)

___ C. After extension of the probationary period (Date of Chancellor's action: ___/___/___ ).
PART II. TO BE COMPLETED BY APPLICANT

A. I certify that I have read this personnel application (the "University of Hawaii at Hilo Application for Tenure and/or Promotion") and that I understand the kind of information required. Further, I certify that I have received a copy of the explanatory guide ("How to Complete the Application for Tenure and/or Promotion") which provides further assistance. After reading both documents, I have concluded that I wish to apply for:

[ ] tenure and/or [ ] promotion.

Signed________________________ Date

B. PROBATIONARY FACULTY ONLY: I do not wish to apply for tenure. Therefore, I am not completing the application for tenure. I understand that the next academic year will be my terminal year of service at UH Hilo.

Signed________________________ Date

C. Consultation (check as appropriate)

____ 1. I consulted with my DC or comparable unit head regarding my application

____ 2. I did not consult with my DC or comparable unit head regarding my application

____ 3. I was unable to consult with my DC or comparable unit head regarding my application. (Please give reasons)

Signed________________________ Date

D. I certify that I understand the appropriate criteria and the Minimum Qualifications in Section IV, V or VI of this Application. In the event that it should be impractical to notify me of the University’s decision on my application by personal delivery in writing, I ask that notice be given by certified mail to the address given below:

Signed________________________ Date

Address

-2.1-
Part II. (continued)

E. Employment History:

List in chronological order the dates of all personnel actions pertinent to you beginning with your initial affiliation with UH Hilo. These should include, where appropriate, contract renewals, promotions, sabbatical leaves, leaves without pay (indicate the purpose of such leaves), study leaves, and periods of broken service.

<table>
<thead>
<tr>
<th>Date</th>
<th>Personnel Action</th>
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</table>

-2.2-
Part III. Curriculum Vita Information. (TO BE COMPLETED BY APPLICANT)

A. Academic Degrees
   1. Baccalaureate
      Degree  Subject   Institution   Date Awarded
      Degree  Subject   Institution   Date Awarded
   2. Master's Degree
      Degree  Subject   Institution   Date Awarded
      Degree  Subject   Institution   Date Awarded
   3. Doctorate
      Degree  Subject   Institution   Date Awarded
      Degree  Subject   Institution   Date Awarded
   4. Foreign or Other Degrees and Professional Licenses
      Degree  Subject   Institution   Date Awarded
      Degree  Subject   Institution   Date Awarded
      Degree  Subject   Institution   Date Awarded

B. Graduate Credits, Post-Doctoral Work, etc. since last Degree

<table>
<thead>
<tr>
<th>Institution</th>
<th>Credits</th>
<th>Date(s)</th>
<th>Subject</th>
</tr>
</thead>
</table>

-3.1-
Part III. (continued)

C. Prior Experience:

List with dates, in reverse chronological order, beginning with your affiliation with the last institution or organization before coming to UH Hilo. Please account for all your time since beginning your professional career.
**Part III.** (continued)

D. **List of Courses Taught:**

List in chronological order all courses taught since your date of initial appointment at the University of Hawaii. Courses taught through CCECS or in Summer Session or at an institution other than UH Hilo should also be noted. If additional space is required, append additional suitably-numbered pages immediately following this page.

<table>
<thead>
<tr>
<th>Sem/Year</th>
<th>Course Alpha/No.</th>
<th>Course Title</th>
<th>Contact Number of Cr Hrs Students</th>
</tr>
</thead>
</table>

Reviewed by Chairperson/Unit Head for accuracy of information in Section D Above:

Chairperson's Signature_________________________ Date

-3.3-
### Part III. (continued)

E. List below the number of students in your discipline for whom you served as faculty advisor, the number of students you supervised in independent study, and the number of students whose senior thesis you supervised. Use NA for any item below which is not applicable.

<table>
<thead>
<tr>
<th>Year</th>
<th>Number of Advisees</th>
<th>Number of Independent Study Students</th>
<th>Number of Senior Theses</th>
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-3.4-
Part IV. ENDEAVORS (To be completed by applicant)

Use the page 4.1 appropriate to your faculty classification. See Sections I, II, and III of the explanatory guide, "How to Complete the Application for Tenure and/or Promotion," for examples of activities. Attach statements on endeavors on pages numbered from 4.2 with your name on the upper right of each page.

A. Statement of Endeavors -- Instructional Faculty

Indicate the page numbers of your statements of endeavors in the following categories:

Instructional activities (4.2 to 4.__)
Research/scholarly/creative activities (4.__ to 4.__)
Service activities (4.__ to 4.__)
Others (4.__ to 4.__)

B. Statement of Your Plans for the Future as a Member of the UH Hilo Faculty

Attach a statement on your future plans and the way in which they relate to the mission and the character of UH Hilo.

Statement of Future Plans (4.__ to 4.__)

C. Supporting Materials (read Sections I, II and III carefully). Organize supporting materials into separate appendices. Continue on next page if necessary.

Appendix A Current Curriculum Vitae (pages 1 to ___)
Appendix B Teaching Evaluations (pages 1 to ___)
Appendix C Previous DC and DPC Evaluations (pages 1 to ___)
Appendix D Responses to Criticisms in Appendix C (pages 1 to ___)
Appendix E __________________________ (pages 1 to ___)

Note here the final page number of submission--(4.__)

-4.1(I)-
Part IV. ENDEAVORS (To be completed by applicant)

Use the page 4.1 appropriate to your faculty classification. See Sections I, II, and III of the explanatory guide, "How to Complete the Application for Tenure and/or Promotion," for examples of activities. Attach statements on endeavors on pages numbered from 4.2 with your name on the upper right of each page.

A. Statement of Endeavors -- Specialist Faculty

Indicate the page numbers of your statements of endeavors in the following categories:

Professional activities (4.2 to 4.__)
Service activities (4.__ to 4.__)
Others (4.__ to 4.__)

B. Statement of Your Plans for the Future as a Member of the UH Hilo Faculty

Attach a statement on your future plans and the way in which they relate to the mission and the character of UH Hilo.

Statement of Future Plans (4.__ to 4.__)

C. Supporting Materials (read Sections I, II and III carefully). Organize supporting materials into separate appendices. Continue on next page if necessary.

Appendix A Teaching Evaluations (pages 1 to ___)
Appendix B _______________ (pages 1 to ___)
Appendix C _______________ (pages 1 to ___)
Appendix D _______________ (pages 1 to ___)
Appendix E _______________ (pages 1 to ___)

Note here the final page number of submission--(4.__)

-4.1(S/B)-

46
PART V. DIVISION OR DEPARTMENT PERSONNEL COMMITTEE (DPC)

A. In addition to the material supplied by the candidate and included in the dossier, the DPC received or obtained and reviewed the following material:

1. Unsolicited evaluations, if any, as attached and listed below (identify by sender or as "confidential A," "confidential B," etc.):

2. Solicited evaluations, if any, from extramural sources as attached and listed below (identify by sender, or as "confidential A," "confidential B," etc.):
PART V. (continued)

B. Assessment of the Applicant's Strengths and Weaknesses by the DPC:
PART V. (continued)

C. **DPC’s Certification:**

We hereby certify that the assessment recorded on page 5.2 was made by the Committee. Furthermore, if a recommendation is shown below, we certify that the vote recorded is correct and that it was taken by secret ballot.

<table>
<thead>
<tr>
<th>DPC Chairperson’s Signature</th>
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<th>Member</th>
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<td>Member</td>
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</table>

D. **DPC’s recommendation (if one is made) with number of votes in each category.**

If tenure is being considered:

___ Members voted to recommend tenure

___ Members voted to recommend against tenure

___ Members abstained from voting on tenure

If promotion is being considered (*the following section is not* to be completed in the cases of automatic promotion accompanying tenure):

___ Members voted to recommend promotion

___ Members voted to recommend against promotion

___ Members abstained from voting on promotion
PART VI. DIVISION OR DEPARTMENT CHAIR (DC)

A. DC's Assessment of the Applicant's Strengths and Weaknesses:

B. DC's Recommendation: (if one is made)

DC's Signature

________________________________________  _______________________
Name                                      Date

-6.1-
PART VII. DEAN

A. Dean’s Assessment:

B. Dean's Recommendation:

If tenure is being considered:

1. Tenure be granted [ ]
2. Tenure not be granted [ ]

If promotion is being considered: (the following section is not to be completed in the case of automatic promotion accompanying tenure):

1. Promotion be granted [ ]
2. Promotion not be granted [ ]

Dean's Signature

Name                                           Date
PART VIII. TENURE AND PROMOTION REVIEW COMMITTEE (TPRC)

In addition to the material supplied by the candidate and the DPC, the TPRC obtained and reviewed the following material, listed with due regard for confidentiality, as appropriate:

NATURE OF MATERIAL
PART VIII (continued).  TPRC'S ASSESSMENT AND ACTION

A. Assessment:
PART VIII.  (continued)

B.  TPRC's recommendation is as follows: (give number of votes in each category):

If tenure is being considered:

   ___ Members voted to recommend tenure
   ___ Members voted to recommend against tenure
   ___ Members abstained from voting on tenure

If promotion is being considered (the following section is not to be completed in the cases of automatic promotion accompanying tenure):

   ___ Members voted to recommend promotion
   ___ Members voted to recommend against promotion
   ___ Members abstained from voting on promotion

C.  TPRC's Certification:

We hereby certify that the assessment recorded on page 9.1 was made by the Committee and that the vote recorded is correct and that it was taken by secret ballot.

TPRC Chairperson's Signature       Date

Member                             Date

Member                             Date

Member                             Date

Member                             Date

-8.3-
PART IX. VICE-CHANCELLOR FOR ACADEMIC AFFAIRS

My recommendation is as follows:

If tenure is being considered:

1. Tenure be granted [ ]
2. Tenure \textbf{not} be granted [ ]

If promotion is being considered: \textit{(the following section is not to be completed in the case of automatic promotion accompanying tenure)}:

1. That promotion be granted [ ]
2. That promotion \textbf{not} be granted [ ]

\begin{center}
Vice-Chancellor's Signature
\end{center}

\begin{center}
Name \hspace{2cm} Date
\end{center}

[ ] The above recommendation agrees with that of the TPRC.

[ ] The above recommendation \textbf{disagrees} with that of the TPRC. The case was discussed with the TPRC on \text{__________}.  

-9.1-
PART X. CHANCELLOR

My recommendation is as follows:

If tenure is being considered:

1. Tenure be granted [ ]
2. Tenure not be granted [ ]

If promotion is being considered: (the following section is not to be completed in the case of automatic promotion accompanying tenure):

1. That promotion be granted [ ]
2. That promotion not be granted [ ]

Chancellor’s Signature

Name

Date

[ ] The above recommendation agrees with that of the TPRC.

[ ] The above recommendation disagrees with that of the TPRC. The case was discussed with the TPRC on __________.
PART XI. EXAMINATION OF DOSSIER

A. I request permission to examine my dossier as a result of notification by the Chancellor that it contains a negative recommendation.

Signed_________________________ Date

B. I acknowledge having examined the dossier and will/will not submit written comments and additional material to the Chancellor by 4:30 pm on ___/___/____.

Signed_________________________ Date

C. I acknowledge receipt of written comments and additional materials from the applicant. These have been appended as pp. 10.2 to 10.____ and will be transmitted (together with pages 11.1 and 11.2 of the application form) with the dossier to the TPRC.

Signed_________________________ Date

Chancellor or Designee

-11.1-
PART XII. TPRC'S REASSESSMENT AND ACTION

(To be completed only when the TPRC's initial assessment was negative and new materials have been submitted.)

Additional materials received:

A. Reassessment:
PART XII. (continued)

B. TPRC's recommendation upon reassessment is as follows: (give number of votes in each category):

If tenure is being considered:

____ Members voted to recommend tenure

____ Members voted to recommend against tenure

____ Members abstained from voting on tenure

If promotion is being considered (the following section is not to be completed in the cases of automatic promotion accompanying tenure):

____ Members voted to recommend promotion

____ Members voted to recommend against promotion

____ Members abstained from voting on promotion

C. TPRC's Certification:

We hereby certify that the reassessment recorded on page 11.1 was made by the Committee and that the vote recorded is correct and that it was taken by secret ballot.

TPRC Chairperson's Signature Date

Member Date Member Date

Member Date Member Date

Member Date Member Date

-12.2-
PART XIII. CHANCELLOR’S REASSESSMENT

Additional Materials Received (to be completed only when the initial recommendation of the TPRC was positive):

A. Chancellor’s Reassessment

B. Chancellor’s Recommendation

If tenure is being considered:

1. Tenure be granted [ ]
2. Tenure not be granted [ ]

If promotion is being considered: (the following section is not to be completed in the case of automatic promotion accompanying tenure):

1. Promotion be granted [ ]
2. Promotion not be granted [ ]

Chancellor’s Signature

Name Date

C. Discussed with TPRC on __/__/___.