

**CRITERIA AND GUIDELINES FOR  
FACULTY TENURE/PROMOTION APPLICATION  
UNIVERSITY OF HAWAI'I AT MĀNOA**

**September 2019**

**SUBMISSION DEADLINE TO DEPARTMENT:**

**FRIDAY, October 4, 2019**

**PLEASE SUBMIT AN ORIGINAL PLUS SEVEN (7) COPIES**

**NOTE:**

**ALL REFERENCES ARE TO THE *2017-2021 UHPA/UH AGREEMENT***

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## I. Instructions for Tenure Applicants

The 2017-2021 *Agreement between the University of Hawai'i Professional Assembly and the Board of Regents of the University of Hawai'i (Agreement)* requires that all eligible faculty must apply for tenure by their final year of probationary service according to a timetable established and published by the University. Probationary service is defined in Article XII, Section C of the *Agreement*. Failure to apply results automatically in the issuance of a terminal year contract. If you have doubts about which is your final year of probation, check your most recent PNF (Payroll Notification Form). Assistance in obtaining this information will be provided by your Department Chair or comparable unit head.

The information submitted by you in your tenure application, and that appended to your application by its reviewers, are the principal bases on which your case for tenure will be assessed. It is your responsibility to see that all pertinent information has been included in your application. Guidelines for preparing the application are provided in Section VII below.

The Available Options. Article XII of the *Agreement* defines when you should normally apply for tenure. There are several options available to you:

- A. If you are in your final year of probationary service, or in your terminal year of service but have a written agreement that the University will accept your application during the 2019-2020 academic year, you must elect whether or not to apply.
  1. After familiarizing yourself with the criteria contained in Section IV below, and any additional college and/or departmental criteria appropriate to your application, you may proceed by signing the statements in Part II on p. 2.2 of the application form. **If your Department Personnel Committee Procedures for Tenure, Promotion and Contract Renewal have been revised, you may elect to have your tenure application reviewed under the procedures in effect for 2017-2018.** Be sure to complete the application by **October 4, 2019** and submit it to your Department Chair or comparable unit head. To assist you, the Department Chair is required to be available for consultation but is neither required nor permitted to prepare the application for you. Procedures for review of your application are outlined in Section VI below. You should also be familiar with Article XII, "Tenure and Service" of the *2017 – 2021 UHPA/UH Agreement*.
  2. You may elect not to apply, in which case you should sign the form for this purpose by **October 4, 2019**. The form is available in your Dean's/Director's office. **IMPORTANT:** If you make this choice, your contract for 2019-2020 will be your last probationary year and you will receive a terminal year contract commencing August 1, 2020 and your appointment with the University will terminate on **July 31, 2021** unless you resign before that date.
- B. You may apply for tenure before your final year of probationary service. If you wish to do so, however, you must submit a signed letter requesting that the University reduce your normal probationary period. This letter must contain a statement that you understand that,

in the event the request is approved, the **2019-2020** academic year will become your final year of probationary service and that a negative decision on your application for tenure will result in a terminal year's contract for **2020-2021**. Your request should be submitted to your Department Chair and will be forwarded for appropriate review and action by your Dean/Director. You may attach a copy of the request to your application form and submit the application according to the procedures outlined in Section VI below. However, the University will take no action on your application for tenure until a decision is made on your request for a reduction in your probationary period.

For Instructional (including Law and Medicine) and Research Faculty (Rank 3):

If your initial appointment was at Rank 3 on or after July 1, 1977, you will be promoted to Associate rank if you are awarded tenure. This means you will be evaluated for promotion to Rank 4 as well as for tenure at Rank 4.

For All Specialist, Librarian, and Agent Faculty and Instructional and Research Faculty (Rank 4):

All Specialist, Librarian, Agent faculty members and Instructional and Research faculty members at Rank 4 may use a single application to apply for: 1) tenure only at the current rank, and 2) tenure and promotion (**please note, the second action requires a separate vote for tenure and a separate vote for promotion by each level of review**). If the recommendation for promotion is negative, but the recommendation for tenure is positive, your tenure-only application will be forwarded to the President for positive action.

## II. Instructions for Promotion Applicants

The *Agreement* between the University of Hawai'i Professional Assembly and the University of Hawai'i provides that any faculty member may apply for promotion in any year in accordance with the guidelines set forth below.

The information submitted by you in your promotion application, and that appended to your application by its reviewers, are the principal bases on which your case for promotion will be assessed. **If your Department Personnel Committee Procedures for Tenure, Promotion and Contract Renewal have been revised, you may elect to have your promotion application reviewed under the procedures in effect for 2017-2018.** It is your responsibility to see that relevant supportive information has been included in the application. Guidelines for preparing the application are given in Section VII below.

- A. You may apply for promotion in any year you meet the minimum qualifications for the rank to which you seek promotion. If you do not meet the minimum qualifications, you may still apply, but in this case, you must request a waiver of one or more of the specified minimum qualifications. For the 2019-2020 review cycle, the deadline for all requests for waivers of minimum qualifications is **September 1, 2019**. The authority to approve waivers of minimal education requirements has been retained by the Provost; the authority to approve waivers of time in rank has been delegated to the Deans/Directors. By this date all requests recommended by the Department Chair and Dean/Director must be sent to the Mānoa Provost's Office, Hawai'i Hall 209.

- B. You may apply for promotion in the same year that you apply for tenure, provided that you meet the requirements outlined above.

### **III. Joint Appointments and Split Appointments**

If you are affiliated with and receive payment for your services from more than one unit, such as two departments or a department and a research institute, you have at least two responsibilities and must, in general, be assessed on your performance in these responsibilities. Page 1.1 of the application defines joint appointments and split appointments (only in the College of Tropical Agriculture and Human Resources). If you have either a joint or split appointment, make sure that page 1.1 is completed so that the reviewing bodies have an appreciation of your multiple responsibilities and give proper consideration to them.

If you have a joint appointment, then you must prepare duplicate applications and assure that each of the units or departments has a copy for review. You should give one copy of the application to the Department Chair, or equivalent, of your primary unit. If you have a joint appointment between two departments in the same College or School, then you should consult with the Dean/Director of the College or School involved and get a signed statement designating the primary unit without ambiguity. Correspondingly, if your appointment is between departments or organizations not in the same College, you should consult the Mānoa Provost's Office (Dr. Beverly A. McCreary, 956-9429 or [bmccrear@hawaii.edu](mailto:bmccrear@hawaii.edu)).

A second copy of your application should go to the secondary unit head at the same time. Each department or unit will then forward copies of your application through its chain of review and the results will be consolidated by the Dean/Director of the primary unit prior to submission to the Tenure and Promotion Review Committee.

If you have an appointment in which one component is administration, then your application will be based only on your non-administrative activities. Due consideration will be given by reviewing bodies to the reduced time you have or have had for your professional activities, but your administrative duties and skills are not a substitute for these professional activities in your application for tenure/promotion.

### **IV. Criteria for Tenure: General Comments**

Article XII.G.1 of the *Agreement* provides that a faculty member applying for tenure in the final year of the normal probationary period shall have the option of being considered under the criteria contained in the *Criteria and Guidelines* distributed in the year of application or those contained in the *Criteria and Guidelines* distributed two years earlier. The campus criteria contained in these 2019-2020 *Criteria and Guidelines* are similar to those distributed for 2017-2018. There are changes to the dossier based on several faculty senate resolutions designed to simplify the tenure and promotion application. Please see Section VII.C for specific changes. Additionally, there are four other changes to the *Criteria and Guidelines* that took effect 2012-2013, one reflects a change in the *2017-2021 Agreement* (see page 15) and the other three provide clarification. The first provides language clarifying criteria for promotion to associate professor and researcher (pages 10-12); the second recommends articulation of authorship convention within the faculty member's field (pages 7-8 & 10); the third further

delineates the conflict of interest requirements for the external evaluators (page 20-21). You should determine with your Department Chair if departmental and/or college criteria have changed. If such criteria have changed, you would have the option of using the criteria distributed two years ago.

The general reasons for granting tenure are that the University has concluded that you are and will continue to be a productive and valuable member of your department, school/college, and campus, that your pattern of continuing professional growth is positive, and that the University anticipates a long-term need for your professional specialty and services. This is a matter of judgment, and there may be honest differences of opinion based on fair and thorough consideration of the evidence.

Because the granting of tenure involves a long-term commitment of the University's resources, the review process is essentially conservative. Unless there is a clear case for tenure, the practice is not to recommend tenure. The President must approve all tenure recommendations.

In assessing the evidence for tenure, reviewers will assign the greatest weight to accomplishments and performance during the period since your initial hire at the University of Hawai'i and your pattern and rate of professional growth. In order to be awarded tenure in a given rank, a faculty member must meet the minimum qualifications, including the requirements for education and experience, in addition to any criteria which may be established by the University for that rank. If you do not meet the minimum qualifications, as specified in Executive Policy – Classification of Faculty, E5.221 (see Appendix A), you may still apply, but in this case, you must request a waiver of one or more of the specified minimum qualifications. For the 2019-2020 review cycle, the deadline for all requests for waivers of minimum qualifications is **September 1, 2019**. By this date all requests recommended by the Department Chair and Dean/Director must be sent to the Mānoa Provost's Office (attention: Dr. Beverly A. McCreary, Hawai'i Hall 209).

#### A. Tenure Criteria for Instructional Faculty (including Law and Clinical Medicine)

1. The University must have a present and long-term need for a faculty member with the particular combination of qualifications, expertise, and abilities possessed by the applicant for tenure.
2. The faculty member must have demonstrated a high level of competence as a teacher during the probationary period. In the rank of Assistant Professor, there should be evidence of increasing professional accomplishment as a teacher. For the Associate and full Professor ranks, there should be evidence of a mature level of performance and the versatility to contribute to all levels of the department's instructional program. In all cases, the evidence should include summaries of student evaluations, how your classes contribute to programmatic and institutional learning outcomes, or other objective assessments of a significant sample of the courses taught during the probationary period.

3. The faculty member must have demonstrated a level of scholarly achievement appropriate to the rank at which tenure is sought in comparison with peers active in the same discipline. The comparison peer group consists not only of departmental colleagues but also of the whole of the appropriate community of scholars active at major research universities. For the Assistant Professor seeking tenure as an Associate Professor, the applicant should be well on the way to becoming an established scholar in his or her discipline. The Associate Professor seeking tenure should be an established scholar whose scholarly contributions and recognition during the probationary period reflect this stature. The full Professor must be among the leaders in the scholarly discipline. It is expected that to receive tenure as a Full Professor, the scholarship will be in published – not just accepted for publication – prior to the faculty member’s application for tenure. In general, publication in a form that involves review by independent referees is of first importance in establishing scholarly achievement. Other means by which scholarly and creative contributions to the discipline are reviewed, utilized and evaluated by peers outside the University are also important. A more detailed listing of the criteria that will be used at each rank may be found in the promotion criteria (Part V) and the Executive Policy – Classification of Faculty, E5.221 (Appendix A).

Collaborative research and joint and shared publications may be the norm in some fields or disciplines. In such cases, departments should include a discussion of authorship conventions - including the significance of authorship order - in their policies and procedures used for tenure and promotion. If not, applicants in such fields or disciplines should provide Department Personnel Committees and Department Chairs with documentation that such is the norm to aid the review process. The significance of such work within the discipline or field should be described to assist the review. Both 1) the proportion of time among given tasks and functions in research and/or writing, and 2) the total proportion of time and effort in the research or publication should be described to aid the review process. Co-author or researcher concurrence or an independent report on such contributions is needed to aid in review.

4. The faculty member should have participated in the academic affairs of the University, such as through service on appropriate faculty committees, and have shown a willingness to use professional competence in the service of the profession and the general community.

#### B. Tenure Criteria for Research Faculty

1. The University must have a present and long-term need for a faculty member with the particular combination of qualifications, expertise, and abilities possessed by the applicant for tenure.
2. The faculty member must have demonstrated a level of research achievement and productivity appropriate to the rank at which tenure is sought in comparison with peers active in the same field. The comparison peer group consists not only of local colleagues but also of the whole of the appropriate research community active at major

research centers. For the Assistant Researcher seeking tenure as an Associate Researcher, the faculty member should be well on the way to becoming an established researcher in his or her field. The Associate Researcher seeking tenure should be an established researcher whose productivity during the probationary period reflects this stature. The full Researcher must be among the leaders in the research field. In general, publication of research results in a form that involves review by independent referees is of first importance in establishing research competence and productivity. A more detailed listing of the criteria that will be used at each rank may be found in the promotion criteria (Part V) and the Executive Policy – Classification of Faculty, E5.221 (Appendix A).

Collaborative research and joint and shared publications may be the norm in some fields or disciplines. In such cases, departments should include a discussion of authorship conventions - including the significance of authorship order - in their policies and procedures used for tenure and promotion. If not, applicants in such fields or disciplines should provide Department Personnel Committees and Department Chairs with documentation that such is the norm to aid the review process. The significance of such work within the discipline or field should be described to assist the review. Both 1) the proportion of time among given tasks and functions in research and/or writing, and 2) the total proportion of time and effort in the research or publication should be described to aid the review process. Co-author or researcher concurrence or an independent report on such contributions is needed to aid in review.

3. The faculty member should have participated in the academic affairs of the University, such as through service on appropriate faculty committees, and have shown a willingness to use professional competence in the service of the profession and the general community.

#### C. Tenure Criteria for Specialist and Librarian Faculty

1. The University must have a present and long-term need for a faculty member with the particular combination of qualifications, expertise, and abilities possessed by the applicant for tenure.
2. The faculty member must have demonstrated a level of professional achievement and productivity in the field of specialization appropriate to the rank at which tenure is sought in comparison with peers active in the same field. The comparison peer group consists not only of local colleagues but also of the whole of the appropriate professional community active at major institutions of higher education. At the ranks of Junior and Assistant Specialist and Librarian II and III, the applicant should demonstrate clear evidence of professional growth in the specialty. The Associate Specialist and Librarian IV seeking tenure should be an established contributor to the standards, techniques, and methodology of the profession. The full Specialist and Librarian V must show evidence of interaction with the broader professional community beyond the University of Hawai'i and have made significant contributions to the standards, techniques, and methodology of the profession. For the senior ranks,

there should be evidence of a high level of professional maturity and the capacity to assume responsibilities calling for the extensive exercise of independent judgment. A more detailed listing of the criteria that will be used at each rank may be found in the promotion criteria (Part V) and the statement of minimum qualifications (Appendix A).

3. The faculty member should have participated in the academic affairs of the University, such as through service on appropriate faculty committees, have shown a willingness to use professional competence in the service of the profession and the general community, and have demonstrated the ability to work effectively with faculty, staff, and administrators as necessary.

#### D. Tenure Criteria for Extension Agent Faculty

1. The University must have a present and long-term need for a faculty member with the particular combination of qualifications, expertise, and abilities possessed by the applicant for tenure.
2. The faculty member must have demonstrated a level of professional achievement and productivity in extension service appropriate to the rank at which tenure is sought in comparison with peers active in extension. The comparison peer group consists not only of local colleagues but also of the whole of the community of extension professionals active in major extension service programs nationwide. At the ranks of Junior and Assistant Extension Agent, the applicant should demonstrate clear evidence of professional growth. The Associate Extension Agent seeking tenure should provide evidence of interaction with the nationwide extension profession and of contributions to extension as a profession. The full Extension Agent should provide evidence of significant interaction with the nationwide extension profession and of substantial contributions to extension as a profession. A more detailed listing of the criteria that will be used at each rank may be found in the promotion criteria (Part V) and the Executive Policy – Classification of Faculty, E5.221 (Appendix A).
3. The faculty member should have participated in the academic affairs of the University, such as through service on appropriate faculty committees, and have shown a willingness to use professional competence in the service of the profession and the general community. The faculty member should have rendered other services to the community as appropriate and have shown an ability to work effectively in an integrated extension program.

#### V. **Criteria for Promotion: General Comments**

In order to be considered for promotion, an applicant must meet the minimum qualifications established by the Board of Regents for the rank to which promotion is sought. The applicant must also meet additional criteria which may be established by the department/unit, school/college and campus. The mere satisfaction of minimum qualifications does not guarantee promotion, nor is promotion granted to recognize “satisfactory” service on the part of a faculty member. Instead, promotion represents important transitions in the faculty member’s

professional growth, development, and status. In general, competent or even superior performance in one area of activity or responsibility is not sufficient to justify promotion. It is expected that an applicant will demonstrate the level of academic achievement and reputation that is commensurate with the rank sought as found at major research universities in the United States. The exact stage of a faculty member's career at which promotion is merited is a matter of judgment, and there may be honest differences of opinion based on fair and thorough consideration of the evidence.

Collaborative research and joint and shared publications may be the norm in some fields or disciplines. In such cases, departments should include a discussion of authorship conventions - including the significance of authorship order - in their policies and procedures used for tenure and promotion. If not, applicants in such fields or disciplines should provide Department Personnel Committees and Department Chairs with documentation that such is the norm to aid the review process. The significance of such work within the discipline or field should be described to assist the review. Both 1) the proportion of time among given tasks and functions in research and/or writing, and 2) the total proportion of time and effort in the research or publication should be described to aid the review process. Co-author or researcher concurrence or an independent report on such contributions is needed to aid in review.

The granting of promotion has implications for the University's standards and its standing in the academic community. Therefore, the review process is essentially conservative. Unless there is a clear case for promotion, the practice is not to recommend promotion to the President. In the case of promotion to Rank 3, the final decision has been delegated to the Provost by the President.

In assessing the evidence for promotion, reviewers will assign the greatest weight to accomplishments and performance during the period since the last promotion, or since initial hire at the University of Hawai'i if you have not been previously promoted during your service here.

#### A. Promotion Criteria for Instructional Faculty (including Law and Clinical Medicine)

1. Promotion to I2-B. A Master's degree from a college or university of recognized standing. A minimum of four years of service as an I2A, or equivalent; evidence of increasing proficiency in ability to teach effectively, direct group discussions, and/or to provide clinical supervision; and professionalism in meeting and conferring with others.
2. Promotion to I2-C. A Master's degree from a college or university of recognized standing with the majority work in the field in their area of assignment and evidence of continued professional growth, skill, and knowledge (e.g. additional coursework, certificates, or other educational activities that advance knowledge of their discipline and/or work with students). A minimum of 4 years as an I2B, or equivalent, evidence of increasing proficiency in ability to teach effectively, direct group discussions, and/or to provide clinical supervision; and professionalism in meeting and conferring with others.

3. Promotion to I2-D. A Master's degree from a college or university of recognized standing with the majority work in the field in their area of assignment and evidence of continued professional growth, skill, and knowledge (e.g. additional coursework, certificates, or other educational activities that advance knowledge of their discipline and/or work with students). A minimum of 4 years as an I2C, or equivalent, evidence of increasing proficiency in ability to teach effectively, and/or to provide clinical supervision; and professionalism in meeting and conferring with others.
4. Promotion to Assistant Professor. An earned doctorate in the relevant field or other appropriate terminal degree is required. The faculty member must provide evidence of competence and increasing professional maturity as a teacher. This evidence should include summaries of student evaluations, how your classes contribute to programmatic and institutional learning outcomes, or other objective assessments of a significant sample of the courses taught while in the rank of Instructor. There must be evidence of scholarly research and contribution to scholarship or other related creative activity which shows scholarly ability, accomplishment and promise.
5. Promotion to Associate Professor. The faculty member must provide evidence of a mature level of performance as a teacher and the versatility to contribute to all levels of the department's instructional program. This evidence should include summaries of student evaluations, how your classes contribute to programmatic and institutional learning outcomes, or other objective assessments of a significant sample of the courses taught while in the rank of Assistant Professor. The Assistant Professor seeking promotion to Associate Professor should be well on the way to becoming an established scholar in his or her discipline. The comparison peer group consists not only of departmental colleagues, but the whole of the community of scholars active at major research universities. In general, publications and other creative activities of a type that permit review by independent referees are of first importance in establishing scholarly achievement. Other means by which scholarly and creative contribution to the discipline are reviewed, utilized and evaluated by peers outside the University are also important. The faculty member should have participated in the academic affairs of the University, such as through service on appropriate faculty committees and should have shown a willingness to use professional competence in the service of the profession and the general community.
6. Promotion to Professor. The faculty member must provide evidence of a mature level of performance and achievement as a teacher and the versatility to contribute to all levels of the department's instructional program. This evidence should include summaries of student evaluations, how your classes contribute to programmatic and institutional learning outcomes, or other objective assessments of a significant sample of the courses taught while in the rank of Associate Professor. The significance and distinction of the scholarly achievement should clearly place the faculty member at the forefront of the discipline or field. In general, publication in the major journals and presses in the field is of first importance in establishing this level of scholarly achievement. For promotion to full Professor it is expected that peer reviewed

scholarship will be published – not just accepted for publication – prior to submitting an application for promotion. Funded research grants and other means by which scholarly and creative contribution to the discipline are reviewed, utilized and evaluated by peers outside the University are also important. The faculty member should be a leader in the academic affairs of the University, should have shown a willingness to use professional competence in the service of the profession and the general community, and should have shown significant accomplishment in the profession and the appropriate discipline.

B. Promotion Criteria for Research Faculty

1. Promotion to Assistant Researcher. An earned doctorate in the relevant field or other appropriate terminal degree is required. The faculty member must provide evidence of competence and increasing professional maturity in the performance of professional and scientific work in the field of research indicated by the title of the class. There must be evidence of ability and promise in independent professional and scientific research documented by independent research activities, publications and contributions to scholarship.
2. Promotion to Associate Researcher. The faculty member seeking promotion to Associate Researcher should be well on the way to becoming an established scholar in his or her discipline in comparison with peers active in the same area of research. The comparison peer group consists not only of departmental colleagues, but the whole of the community of scholars active at major research centers. Publication in a form that involves review by independent referees is of first importance in establishing research achievement. Other means by which scholarly and creative research contributions to the discipline are reviewed, utilized and evaluated by peers outside the University are also important. The faculty member must provide evidence of independent ability to plan and organize funded research activities, including effective interactions with students and assistants as appropriate. The faculty member should have participated in the academic affairs of the University, such as through service on appropriate faculty committees, and have shown a willingness to use professional competence in the service of the profession and the general community.
3. Promotion to Researcher. The faculty member must demonstrate a level of research achievement and productivity which establishes stature among the leaders in the relevant research field or sub-field. This leadership position is not only with respect to departmental colleagues, but the international community of scholars active at major research centers. Publications and funded research grants that involve review by independent referees are of first importance in establishing research achievement. Other means by which research contributions to the discipline are reviewed, utilized and evaluated by peers outside the University are also important. The faculty member should have participated in the academic affairs of the University, such as through service on appropriate faculty committees, and have shown a willingness to use professional competence in the service of the profession and the general community.

### C. Promotion Criteria for Specialist Faculty

1. Promotion to Assistant Specialist. The faculty member must provide evidence of competence, productivity and increasing professional achievement and maturity in the performance of assigned duties. Training represented by a Master's degree and 30 credits of graduate study beyond the Master's from a college or university of recognized standing with major work in a field closely related to the position involved is required. There should be evidence of ability to perform duties calling for independent professional judgment in the field of specialization, evidence of productivity and an indication of the capacity to supervise clerical help and at least three years previous experience at the next lower rank or equivalent.
2. Promotion to Associate Specialist. The faculty member must provide evidence of increasing professional maturity in the professional specialization and in the performance of duties in the rank of Assistant Specialist, including evidence of the ability to exercise independent professional judgment competently in the field of specialization. Training represented by a doctorate from a college or university of recognized standing with major course work and dissertation in a relevant field is required. At least four years of experience in the appropriate specialty in the next lower rank or equivalent are required. The faculty member must demonstrate the ability to plan and organize assigned activities and to supervise the work of assistants, if appropriate. The faculty member must demonstrate a level of professional achievement which reflects his or her stature as a contributor to the standards, techniques and methodology of the profession in comparison with peers active in the same field. The comparison peer group consists not only of local colleagues but the whole of the professional community active at major institutions of higher education. In general, contributions of such a nature as to permit critical review and facilitate use by other professionals are of first importance in establishing professional achievement. There must be evidence of interaction with the broader professional community beyond the University of Hawai'i.
3. Promotion to Specialist. The faculty member must provide evidence of increasing productivity and professional maturity in the performance of duties in the rank of Associate Specialist, including evidence of the competent exercise of independent professional judgment in the field of specialization. Training represented by a doctorate from a college or university of recognized standing with major course work and dissertation in a relevant field is required. At least four years of experience in the appropriate specialty in the next lower rank or equivalent are required. The faculty member must provide evidence of successful planning and organization of assigned activities, including the supervision of assistants, if appropriate. The faculty member must demonstrate a level of professional achievement which establishes his or her stature as a substantial contributor to the standards, techniques and methodology of the profession. This stature is not only with respect to local colleagues, but the whole of the professional community active at major institutions of higher education. In general, contributions of such a nature as to permit critical review and facilitate use by other professionals are of first importance in establishing professional achievement. There

must also be evidence of significant interaction and leadership with the broader professional community beyond the University.

#### D. Promotion Criteria for Librarian Faculty

1. Promotion to Librarian III. The Librarian must provide evidence of competence, productivity and increasing professional achievement and maturity in the performance of assigned duties. Training represented by a Master's degree in Library or Information Science and in addition to the Master's degree, 24 post-baccalaureate credits of academic study, and at least three years of appropriate experience is required. There should be evidence of ability to perform duties calling for independent judgment as well as evidence of initiative, analytical and problem-solving ability and familiarity with departmental functions, library-wide goals and University programs. The Librarian should demonstrate awareness of current professional literature and development.
2. Promotion to Librarian IV. The Librarian must provide evidence of increasing professional maturity in the professional specialization and in the performance of duties in the rank of Librarian III, including evidence of the ability to exercise independent professional judgment. Training represented by two Master's degrees is required: one in Library or Information Science, and one in a specialized subject area. Seven years of appropriate experience or four years in the rank of Librarian III are also required. The Librarian should show ability to anticipate and recommend changes in accordance with the changing needs of the Library and University as a whole and should also exhibit independence and creativity in the provision of service and/or program development or evaluation. The Librarian should demonstrate participation in academic or professional activities within the University and beyond. If managerial or supervisory responsibilities are an aspect of the Librarian's assigned position or function, there should be demonstration of maturing competence in this area.
3. Promotion to Librarian V. The Librarian must provide evidence of increasing productivity and professional maturity in the performance of duties in the rank of Librarian IV including evidence of the competent exercise of independent professional judgment. Training represented by two Master's degrees is required: one in Library or Information Science and one in a specialized subject area. The Librarian also must have 12 years of appropriate experience or four years in the rank of Librarian IV. The Librarian must demonstrate academic and professional leadership, functioning in responsible positions in academic and professional affairs. The comparison group consists not only of local colleagues, but the whole of the professional community active at major institutions of higher education. Leadership can be at the state or national level and may be demonstrated by contributions to the field through activities such as publication, committee work, presentation of papers, etc. In general, contributions should be of such a nature as to permit critical assessment and to facilitate use by the population the Library serves. If supervisory or managerial responsibilities are an aspect of the Librarian's assigned position or function, there should be demonstration of mature competence and effectiveness in this area.

## E. Promotion Criteria for Extension Agent Faculty

1. Promotion to Assistant Extension Agent. A Master's degree from a college or university of recognized standing, with major work in agriculture, home economics, marine science, resource management or a related field, as appropriate, or, in addition to the Bachelor's degree, 30 credits of post-baccalaureate academic work in a field appropriate to the individual's job is normally required. Three years of successful experience in Cooperative Extension work, Sea Grant Extension work, or equivalent in closely related fields are required. The faculty member must provide evidence of competence, productivity and increasing professional maturity in the performance of assigned extension activities. In addition, there should be evidence of ability to perform duties calling for independent professional judgment, and of the capacity to assume responsibility for the development of an extension program. The faculty member must have shown an ability to work effectively with other agents in an integrated extension system.
2. Promotion to Associate Extension Agent. A Master's degree from a college or university of recognized standing in agriculture, home economics, marine science, resource management or a related field, whichever is appropriate; in addition to the Master's, 15 credit hours of post-baccalaureate academic work in an appropriate field; at least four years experience as an Extension faculty member or its equivalent in related fields in the next lower rank is required. The faculty member must provide evidence of increasing productivity and professional maturity in the performance of extension activities in the rank of Assistant Extension Agent. There must be evidence of a high level of leadership ability, including the capacity to develop leadership in others. The faculty member must demonstrate the successful administration of a well-organized extension program and the capacity to work effectively with agents in other jurisdictions and with related public agencies. There must be evidence of interaction with the profession and of contributions to the appropriate subject matter discipline or to extension as a profession.
3. Promotion to Extension Agent. A Master's degree from a college or university of recognized standing with major work in agriculture, home economics, marine science, resource management or a related field, whichever is appropriate; in addition to the Master's degree, 30 credit hours of post-baccalaureate academic work beyond the Master's degree in an appropriate field; and at least four years of experience as an Extension faculty member or similar and equivalent work in the next lower rank are required. The faculty member must provide evidence of continued professional growth as an Associate Extension Agent. There must be evidence of exceptional leadership ability and success in a position with significant program or administrative responsibilities covering major subject areas or large geographic areas. The faculty member must provide evidence of ability to perceive and implement broad educational programs relevant to community needs, and the capacity to work harmoniously with agents in other jurisdictions and with other governmental agencies in an integrated extension program. There must be evidence of significant interaction and leadership

with the nationwide extension profession, and of substantial contributions to the appropriate subject matter discipline or to extension as a profession.

## VI. The Tenure/Promotion Review Process

The procedures for review of your application for tenure/promotion are given in detail in Article XII, and Article XIV of the *2017-2021 UHPA/UH Agreement*. In summary, you should complete your application in accordance with the guidelines in Section VII as described below and submit it by **October 4, 2019**.

- A. The application for tenure/promotion must be submitted to the Department Chair. He/she and the Department Personnel Committee will make written assessments of your strengths and weaknesses, append recommendations if they so desire, and transmit the dossier to the Dean/Director.
- B. The Dean/Director will make his or her independent assessment and recommendation and transmit the dossier to a Tenure and Promotion Review Committee (TPRC) which has been appointed to review your case.
- C. The TPRC “shall review the dossier and make a recommendation, then return it to the Dean/Director for consideration and transmission to the Provost.”<sup>1</sup>
- D. Faculty Members will be notified of the TPRC’s recommendation after it has been received by the Mānoa Provost’s Office.
- E. If, after the TPRC review, the dossier contains only positive recommendations, the dossier will be transmitted to the Mānoa Provost for review. If the Provost’s assessment is positive, a recommendation for tenure/promotion will be made to the President.
- F. If, after the TPRC review, the dossier contains a negative recommendation, you will be permitted to examine the dossier and to submit written comments and additional materials. If the negative recommendation occurred at the TPRC, the dossier will be returned to the same TPRC for a second review. The dossier will then be forwarded to the Mānoa Provost who will make an independent assessment of the application, reviewing all materials, including any additional materials that may have been submitted in accordance with the procedure described. If the negative review did not occur at the TPRC, then the additional materials will be forwarded directly to the Mānoa Provost. The Mānoa Provost will then decide to either recommend tenure/promotion or deny tenure/promotion. If the latter, you will be so notified and permitted to examine the dossier and meet with the Mānoa Provost, if you desire.
- G. If you are denied tenure, the options available to you are explained in Article XII.H of the *2017-2021 UHPA/UH Agreement*.

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<sup>1</sup> From *2017-2021 Agreement between the University of Hawai‘i Professional Assembly and the Board of Regents of the University of Hawai‘i*, Article XII.G.2.F.

H. If you are denied promotion, under certain circumstances, as specified in Article XIV.D of the *2017-2021 UHPA/UH Agreement*, you may request a further review.

## VII. Guidelines for Preparing the Application for Tenure and Promotion to Ranks 3, 4 and 5

The tenure/promotion application is the means by which you convince those involved in the review process of your achievements and ability. Therefore, you should document your accomplishments with as much objective evidence as possible. The sections below indicate some of the kinds of evidence that are of particular value to the reviewers. If you include letters of support from colleagues, students, or others as part of your application, it is wise to select those that evaluate specific contributions or achievements rather than those which simply express support for your case. The reviewers of your application are charged with making an independent assessment of your record, and specific information and evaluation by peers is more useful for this purpose than general statements or opinions. Inclusion of testimonials that do not provide specific substantive support may detract from the effectiveness of your presentation.

You are required to complete Parts I, II, III and IV of the application form. If you have questions about Parts I, II or III, your Department Chair will be able to assist you. Some guidelines for completing Part IV are as follows:

- A. Pagination. Be sure that every page of material you submit has a page number, starting with 4.2 and proceeding sequentially. **Please type or use labels to put your legal name on the upper right hand corner of each page you submit (Last, First M.I.)**. 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.
- B. Language. The Constitution of the State of Hawai'i identifies two official languages in the State, English and Hawaiian (Ōlelo Hawai'i). Please indicate the language in which you are submitting your dossier on page 2.1.
- C. Statement of endeavors. (Recommended length: 1-9 pages, 12 point) You are required to give a well-documented and clear report of your teaching, research and service activities and achievements since the last promotion or since initial hire, whichever is appropriate. This report should be more than a list of activities. Where appropriate, an analysis of the quality and value of your research, a statement of your instructional philosophy and a statement about the impact of your professional service will be expected. You can provide a statement about the unique aspects and special significance of your accomplishments and future plans in teaching, research and/or service. Discussions of departmental/University service and community service are in Sections D.4 and D.6 below. Please read these in order to fully understand the weight given to these activities in comparison with research and teaching.

- D. Supporting materials. Appropriate supporting materials depend on your faculty classification. Faculty in the Instructional classification must submit documented evidence of teaching accomplishments, as suggested in Section D.1, “Teaching,” outlined below.

For both Instructional and Research faculty, a bibliography or other objective record of scholarly work is essential. Section D.2, “Bibliography,” below gives the format you should use in compiling your bibliography. Faculty in fields such as the fine arts may substitute a list of shows, performances, etc., in lieu of a bibliography. Professional reviews of your work by peers not associated with University of Hawai‘i at Mānoa (UH Mānoa) are important and should be included if available.

1. Teaching. If you are in the Instructional classification, you must have documented evidence of your teaching ability and of your contributions to the curriculum.

- a) Teaching ability is usually documented by means of teaching evaluations. These should reflect a representative sample of all of the courses you have taught in recent years. You should include coverage of all the recent courses you have taught which used the standard evaluation procedures adopted by your department, college or school. Special recognition by awards or citations for excellence in teaching should be recorded. 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.
- b) Contributions to the curriculum may be documented by materials from courses you have helped to create or modify; materials from classes you have taught as writing intensive, as part of the honors program, or to serve special needs; and evidence of innovations in teaching or teacher training, including the development of textbooks and innovation in the publication of educational materials (e.g., electronic publication, CD ROMs, etc).

2. Bibliography. Your bibliography provides an invaluable objective record of your scholarly activity. The format which should be used is as follows:

- a) Separate your published works, conference presentations and manuscripts into appropriate groupings. The following categories may be adapted to your discipline. Additional categories may be created as necessary.
  - Books of original scholarship—author/co-author
  - Chapters in books
  - Edited volumes
  - Textbooks
  - Articles in international or national refereed journals
  - Articles in other periodicals
  - Unpublished work, accepted for publication (with documentation: submitted, conditionally accepted, in press, etc.)
  - Internal reports and other unpublished work

- Invited conference presentations
  - Refereed conference contributions
  - Departmental seminars
  - Published abstracts
  - Other scholarly products (such as major software, video or film)
  - Grants (indicate funded, approved but not funded, submitted but not approved, etc.)
- b) 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 last promotion (or initial hire if you have not previously been promoted at the University of Hawai'i) and earlier work.
  - c) For each item, give complete citation. An entry for a published article, for example, should include all the authors as listed in order by the journal, complete title, volume, year and pagination.
  - d) Make a clear distinction between works for which you were an author and those for which you were an editor.
  - e) For all jointly authored and edited works, you must indicate your estimate of the extent of your contributions.
  - f) Faculty in disciplines such as the fine arts, music, drama, etc., should provide a complete listing of exhibitions, performances or other appropriate presentations of their creative work. A clear division should be made between presentations since your last promotion (or initial hire if you have not previously been promoted here) and earlier ones. Complete information as to the nature of each presentation, place, dates, etc., should be provided.
3. Peer evaluations of contributions. You should include all relevant external reviews of your published work or creative productions. These include published reviews, grant reviewers' comments, letters to the editor, readers' comments of manuscripts submitted for publication and unsolicited letters from peers in response to publication of your work.
  4. University service. Your statement concerning service on departmental committees or special projects should be included in the narrative. Academic service activities may include (but are not limited to): participation in faculty governance by membership in standing and ad hoc organizations, committees and task forces at the college/school and/or university levels, activities contributing to the improvement of teacher education, etc.
  5. Professional service. You should include activities related to service to your discipline and professional organizations. Professional service activities may include (but are not limited to): serving as an officer in a professional organization, editing a professional

publication, organizing conferences/workshops, creating discipline-related instructional models and resource materials for use in K-12 education, etc.

6. Community service. Public service that is related to your profession is considered a positive factor in reviewing faculty for promotion. Still, for Instructional and Research faculty, the lack of professional public service accomplishments (unlike University service) is not detrimental to advancement—a recognition that the opportunity for such work in some fields is quite limited. Public service is not a substitute for research and teaching achievements. It is complementary to these other types of activities for Instructional and Research faculty. Public service (as other faculty achievements) should be documented, including an assessment of quality and impact. In sum, public service is a generally marginal but sometimes significant factor in the advancement of UH Mānoa faculty. While not weighted equally with research and teaching, meritorious public service activities—if linked closely to the other two areas—can have a favorable impact on tenure and promotion decisions.

- E. Solicitation of external evaluations by Department Chair, Chair of Department Personnel Committee, or Dean/Director. Departments should seek external evaluations of each applicant's work. An evaluator should be at, or above the rank aspired to by the applicant. External evaluators should be professionally capable to assess the applicant's work objectively and comment on its significance in the discipline.

Normally, the applicant is asked to provide in writing three to five names and addresses of respected scholars in related fields who are not at the University of Hawai'i, Mānoa. Applicants should not contact possible external evaluators. It is the obligation of the Department to secure external evaluations. It is recommended that the Department Chair, in consultation with the Chair of the Department Personnel Committee, should secure letters from 2-3 of these people and a comparable number of letters from known scholars proposed by the Department who can evaluate the applicant's work.

Approximately the same cover letter soliciting the evaluation should be sent to each evaluator. The Department Chair should keep a copy of each letter. A curriculum vita will be included with the letter and if possible copies of reprints of the applicant's major publications, if practical. The purpose of the request is to obtain an opinion about the scholarly contributions which the applicant has made and not to determine whether or not the applicant would receive tenure/promotion at another institution.

The confidentiality of such evaluations is of great concern. The following paragraphs should be included in the letter to external evaluators:

Your review of Professor \_\_\_\_\_ is for the sole purpose of helping the faculty and administration of the University of Hawai'i at Mānoa to evaluate this faculty member for promotion and/or tenure (use appropriate phase). Your identity as a confidential referee will not be shared with this applicant and we will do our best to maintain the confidentiality of your evaluation.

The faculty and administration of the University of Hawai'i greatly appreciate your willingness and efforts in evaluating and commenting on the work of this faculty member.

When the external evaluations arrive in the departmental office, necessary steps should be taken to ensure that the evaluation is kept confidential. The procedure for handling the evaluation should include the following:

1. Mark the letter "Confidential" as soon as it arrives. Do not show the letter to the applicant at any time.
2. Make seven (7) copies of the letter and assemble eight (8) sets of confidential letters (original + 7 copies). One set of confidential letters should be included with each copy of the dossier.
3. Place the confidential letters in eight (8) manila envelopes marked "CONFIDENTIAL" and with the applicant's name. Include inside each envelope a listing of the reviewers, their institutional and disciplinary affiliations and whether they came from the candidate's or the department's list. Also include a copy of the letter sent to external reviewers.
4. On page 5.2, Department Assessment (Section E, Confidential Letters of Evaluation), indicate the number of confidential letters solicited by the department and the number of confidential letters received by the department. Do not list the authors of the confidential letters in this section.
5. In **Summer 2020**, when the final decisions are announced, a brief letter should be sent to each of the external reviewers informing them of the disposition of the case and thanking them once again for their efforts on behalf of the department, the college, and the UH Mānoa. In the case of a negative decision, departments must confirm with the Mānoa Provost's Office that any appeal has been resolved prior to contacting the reviewers.

F. Compiling dossiers.

- Each appended page should be numbered at the bottom center and have the applicant's full name (Last, First M.I.) at the top right corner; labels may be utilized for names and page numbers.
- The margins for each appended page should be wide enough to ensure that no part of the text is obscured when the dossier is bound.
- Dossiers should be bound in a manila file folder or three-ring binder.

- Fasten at the left side of the page with a prong paper fastener. Set the two-hole punch at 11" for the pages and 12" for the manila folder. **If using manila folders, please make sure that the fastener opens at the back of the folder.**
- Label the original dossier as "Original" and number it "Copy 1". Number the subsequent copies "2" through "8".
- Place a file label with the applicant's full name, college/unit, department, and copy number on the manila file folder tab, or the front of the three-ring binder.
- When using a three-ring binder the dossiers may be printed double-sided.
- Confidential letters in their own manila envelope should be included in the folder (but not attached) by the Department Chair.

Special instructions for Specialists, Librarian, and Extension Agent faculty and Instructional and Research faculty at Rank 4 who may apply in two categories simultaneously. Faculty who are Specialists (S), Librarians (B) or Extension Agents (A) may receive tenure at ranks 2 and 3 without being promoted. Specialist, Librarian, and Agent faculty members who wish to be considered for tenure with promotion to the next rank may use a single application for these two options. **Please note – these actions require a separate vote for tenure and a separate vote for promotion by each level of review.** For example, faculty with S, B, or A classifications may complete the top of page 1.1 of the application form as follows:

X Tenure only at \_\_\_\_\_ (indicate current rank)  
(Rank)

X Tenure and Promotion to \_\_\_\_\_  
(Rank)

Thus, if the faculty member is recommended for tenure but is not recommended for promotion, the faculty member will still be awarded tenure at his/her current rank.

In the event that an applicant receives tenure but is denied promotion, he/she is eligible for the remedies for denial of promotion (see Article XIV.D-J). In the event that tenure is also denied, the applicant may elect the remedies in Article XII.H.

### **VIII. Guidelines for Preparing the Application for Promotion to Instructional Faculty Ranks 2B, 2C and 2D**

The Instructional Faculty Rank 2 promotion application is the means by which you convince those involved in the review process of your achievements and ability. Therefore, you should document your accomplishments with as much objective evidence as possible. The sections below indicate some of the kinds of evidence that are of particular value to the reviewers.

- A. Pagination. Be sure that every page of material you submit has a page number. **Please type or use label to put your legal name on the upper right hand corner of each page you submit (Last, First M.I.)**. 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.
- B. Professional Statement of Instructor Role at Appropriate Placement Rank (3 pages). Articulate how you meet the criteria for placement at the rank you are applying for. You can provide a statement about the unique aspects and special significance of your accomplishments. This narrative should reflect the major duties assigned during the period of review.
- C. Curriculum Vitae.
- D. All Course Evaluations (Student Evaluations from period under review: 4 years prior).