

APPROVED:

James D. Kardash 2/9/2016
UHPA Date

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[Signature] 2/25/2016
Mānoa Chancellor's Office Date

SCHOOL OF ACCOUNTANCY PROCEDURES GOVERNING TENURE,
PROMOTION, AND CONTRACT RENEWAL AND RECOMMENDATION OF THE
DIRECTOR

These are the School of Accountancy Procedures referred to by Article X of the UHPA/BOR agreement.

I. PROCEDURES FOR APPLICATIONS FOR PROMOTION OR TENURE

A. External Referees

1. The candidate will nominate up to six outside reviewers. The outside reviewers must have at least the rank that the candidate is applying to. People who are close personal friends or members of the candidate's doctoral Committee must be avoided. This list will be given to the Director of the School of Accountancy.
2. In selecting outside reviewers, university policy as stated in the Criteria and Guidelines for Faculty Tenure/Promotion application University of Hawaii at Manoa most recent version will be followed. The Director of the School of Accountancy, in consultation with the Chair of the DPC, will write to three of these people [chosen by the applicant] and add three more names of other known scholars who can evaluate the applicant's work. If scholars turn down the request or do not send their review in a timely manner the the Director, in consultation with the Chair of the DPC, will write to additional qualified scholars to replace the scholars who were unable to provide an evaluation.
3. The same cover letter soliciting the evaluation should be sent to each evaluator. The Director of the School of Accountancy should keep a copy of each letter. The letter will go out under the Director's supervision and signature.
4. The curriculum vita will be included with copies of the applicant's scholarly contributions as selected by the applicant.
5. 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 letter should state, unless changed with the permission of the applicant:

APPLICANT'S NAME of our School of Accountancy is being considered for promotion to the rank of Associate or Full Professor. As part of our review process, we require external reviews.

The objective of this letter is to request your opinion about the scholarly contributions which the applicant has made and not to determine whether or not the applicant would receive promotion at your institution. To that end, we ask you for your opinion of the scholarly contributions which the APPLICANT'S NAME has made.

Your review of Professor _____ is for the sole purpose of helping the faculty and administration of the University of Hawaii at Manoa to evaluate this faculty member for promotion and/or tenure (use appropriate phrase). 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 Hawaii greatly appreciate your willingness and efforts in evaluating and commenting on the work of APPLICANT'S NAME.

Sincerely,

Director of the School of Accountancy

B. Review of Dossiers

1. Dossiers shall be reviewed in accordance with University Guidelines and the UHPA/BOR agreement.
2. Applicants may add additional information to Dossiers after the deadline for submission for applying for promotion or tenure until the dossier is transmitted to the Dean.
3. As per the UHPA/BOR agreement, no anonymous material shall be made a part of any dossier. Anonymous material shall include but not be limited to hearsay, rumors, and gossip. This does not preclude the applicant from including solicited letters, testimonials and any other evidence supporting his/her contributions to scholarship, teaching or service as long as the source is clearly indicated.
4. A judgment of the applicant's personality shall not become a part of any dossier.
5. If the DPC or the Director of the School of Accountancy make any negative recommendation for a promotion or tenure application, the applicant shall have the right to prepare a rebuttal statement which will be affixed to the dossier after the negative comments before transmittal to the next level of review.

C. Conduct of DPC meetings

1. There shall be secret ballot voting of all final votes.
2. All tenured members of the SOA faculty are voting members of the DPC with the following exceptions: a. only those members of the DPC of a rank equal to or higher equal than the rank to which the applicant has applied may vote. b. Faculty with an application pending before the DPC may participate in all activities of the DPC that they would ordinarily participate in except for matters pertaining to their own application. c. The applicant may eliminate any member of the School of Accountancy Faculty that has a pending action before the DPC from serving on his/her DPC. In addition, an applicant can eliminate up to one additional member of the School of Accountancy faculty from serving on his/her DPC.
3. When there are fewer than five tenured members eligible to serve from the School of Accountancy, the applicant can nominate the additional members to bring the number up to five. In these circumstances, the Dean may constitute a Faculty Personal Committee in consultation with the Director. This ad hoc Faculty Personal Committee will be made up of all School of Accountancy tenured Faculty with an appointment of .25 FTE or greater and additional tenured Faculty Members from related disciplines in order to bring the number up to five. In selecting the additional members of the Faculty Personnel Committee, the Dean

and Director shall consider the applicant's nomination(s). Any tenured member of the University of Hawaii at Manoa with a rank equal to or higher than the rank the applicant is applying to is eligible to be selected.

4. The DPC will make an assessment and recommendation of the applicant's strengths and weaknesses. After this process is complete the DPC chair will provide the applicant with a copy of the DPC's assessment and the vote total for the recommendation.
5. The DPC shall base its decision solely upon the evidence provided in the applicant's dossier. The DPC may request additional material from the applicant, but the applicant may decline to provide the information without prejudice. In the DPC's request for additional information they must reference the specific part of the tenure and/or promotion guidelines that the material will provide evidence for and indicate how they will use that material in making their recommendation.
6. The Chair of the DPC shall be selected from among the members of the DPC that do not have a personnel action pending.
7. The Director shall not participate in the deliberations of the DPC nor influence the DPC's written assessment. The Director shall make a separate and independent assessment and recommendation.

D. Extension of Probationary Period.

If requested by the Dean to consider an application for the extension of the probationary period, the DPC and SOA Director shall make their recommendation based on their assessment of the applicant's ability to meet the requirements for tenure by the end of the extended probationary period.

E. Renewal of Contracts During the Probationary Period.

The reappointment recommendation form is initiated by the Director. The form will provide for the assessment by the Director and the DPC of the Faculty Member's performance. The form is passed to the DPC 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.

F. Assessment of Faculty on Limited Term Contracts

Historically the SOA has had 12 faculty on limited term contracts as provided for in Article XIII, C of the UHPA/BOR agreement and continues to do so. These contracts are for three years with the expiration term of the contract rolling forward one year at the end of each year of the three year term. Upon a request by the Director the DPC will meet and provide an assessment of a faculty member on a limited contract's strengths and

weaknesses and, if desired, make a recommendation regarding rolling their three year contract forward by one year.

II RECOMMENDATION FOR APPOINTMENT OF THE SOA DIRECTOR

A. Evaluation of Candidates for Director

1. The process for the SOA faculty making a recommendation for the Director shall commence at least 45 calendar days prior to the date on which the recommendation must be submitted to the Dean or other appropriate University official. If that date falls during the off-duty period for nine month faculty the process will begin at least 45 days prior to the end of the duty period.
2. Within seven days of the commencement of the process any person who is eligible to serve as Director may put their name forth for consideration for the recommendation of the faculty provided that they agree to serve as Director only if recommended in accordance with these procedures or if the SOA makes no recommendation.
3. If one or more faculty members put their name forth for consideration the SOA faculty will vote on the candidate(s). The voting will commence no sooner than ten days and no later than 14 days after the process has began.
4. If the voting results in a candidate getting the support of the majority of the faculty that candidate will be put forth as the faculty's recommendation for SOA Director. If the balloting did not result in a faculty member receiving a majority then a run off election will be held between the two candidates with the largest number of votes. If there is a tie for first place then all candidates tied for first place will be included in the run off election. If there was no tie for first place and a tie for second place then all candidates tied for second place will be included in the run off election along with the first place candidate. The run off election will commence within three days of the completion of the first vote. If the run off election resulted in a candidate getting the support of the majority of the faculty, that candidate will be put forth as the faculty's recommendation for SOA Director. If, after the run off election, no candidate receives a majority, the candidate receiving the most votes will be included in the final ballot. If there was a tie for first place in the run off election then all the candidates tied for first place will be put on the final ballot. The final vote will commence within three days of the completion of the run off election. If the final vote results in a candidate getting the support of the majority of the faculty, that candidate will be put forth as the faculty's recommendation for SOA Director. If no candidate gets a majority in the final vote, the process is complete and the SOA faculty makes no recommendation for Director.

B. Conduct of the voting

1. Only BU 07 members of the SOA faculty are eligible to vote.
2. All voting will be by secret ballot.
3. Each faculty member may vote for only one candidate or select the choice “none of the candidates listed.”
4. The voting process will be overseen and the votes jointly counted by the two most senior members of the faculty who did not put their name forward for consideration.
5. The voting process may be done electronically provided that secrecy can be maintained.
6. The voting process will ensure that faculty members that are traveling during the voting period are able to cast their ballots.
7. All eligible faculty members are expected to vote.
8. The votes will be promptly tabulated at the end of the balloting and the results reported to the faculty.

III. AMENDMENTS

1. These procedures may be amended by a majority vote of the BU07 members assigned to the SOA. Upon the request of any SOA faculty member the final vote on amendments will be by secret ballot. Once amended the new procedures will be forwarded to the appropriate university administrator for review.
2. If the changes are to Article I, the applicant will be able to choose the new rules or any rules within three years of applying for promotion or tenure.
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