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ASIAN STUDIES PROGRAM, UNIVERSITY OF HAWAI'I AT MĀNOA

PROCEDURES GOVERNING TENURE, PROMOTION AND CONTRACT RENEWAL

**Preface**

This document constitutes the Asian Studies Program (ASP) guidelines for recommending faculty members for tenure and promotion. They are consistent with relevant provisions of the 2009-2015 *Agreement between the University of Hawai'i Professional Assembly and the University Board of Regents* [hereafter "Agreement"] and the most recent (2014) *Asian Studies Program Guidelines for Tenure/Promotion* (sections I, II, and III below). Those documents encourage candidates for tenure and promotion to consult the Program Chair (PC) and the Department Personnel Committee (DPC) Chair concerning the application process.<sup>1</sup>

**Section I: Tenure and Promotion to Associate Professor**

**A. Essential Criteria**

**A. 1.** The normal probationary period is five (5) years while in salary classification I-3. Probationary faculty may apply for tenure and promotion to associate professor after a probationary period of not less than two years, and must apply after a probationary period of not more than seven years. Assistant professors who apply for tenure must also apply for promotion, and denial of promotion will automatically result in denial of tenure by the University.

**A. 1 (a)** According to University expectations, assistant professors should normally qualify for tenure and promotion by the end of five years of probation. Candidates may, during their probationary years, request an additional two (2) years for tenure and promotion; if granted, this action in effect provides an extension of the probationary period to the maximum seven (7) years. At the end of the fifth and sixth years of probationary service, candidates who ask for another contract renewal rather than tenure and promotion shall

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<sup>1</sup> The Department Personnel Committee (DPC) is constituted of all tenured "regular faculty" of the ASP as defined in its By-Laws. Area "center directors" are considered regular faculty and members of the DPC, and should not be confused with those holding the title of Director as defined and understood under Article X, p. 19 of the *Agreement*.

explain to the DPC why they are unprepared to apply for tenure and promotion; and the DPC shall consider the explanation in its recommendation concerning contract renewal.

**A. 2.** Applicants for tenure and promotion to associate professor must demonstrate achievement in scholarly and professional development; namely, in research and publications, teaching, and professional service of sufficient quality and quantity to merit promotion to associate professor. (See section A.5, 6, and 7 below) Applicants must also demonstrate a sustained pattern of professional growth that promises such continued development in the future as well.

**A. 3.** Because granting tenure involves a long-term commitment, the DPC will recommend tenure only if it concludes that: 1) the candidate is a productive, valuable member of the faculty; 2) the candidate's professional growth and value to the Program will continue; 3) the Program has long-term need for a faculty member with the candidate's combination of qualifications, expertise, and abilities.

**A. 4.** The burden of proof is on the candidate to make a positive case for tenure; it is not the DPC's responsibility to make a negative case to recommend denial of tenure. The candidate must also satisfy the University's minimum probationary requirements unless otherwise agreed to in writing at hire by all relevant parties involved. The satisfaction of such minimum qualifications does not, however, imply sufficient basis for recommending tenure and promotion to associate professor.

**A. 5.** Generally speaking, assistant professors seeking tenure and promotion must demonstrate that they are well on the way to becoming established scholars in one or more areas of Asian Studies, and peer-refereed publications are the indispensable measure of such demonstration. More specifically, and beginning with the assumption that the faculty member already has a PhD, promotion to associate professor from assistant professor requires at least one single-authored, peer-refereed monograph published by a reputable academic press,<sup>2</sup> as well as several single-authored, peer-refereed articles in academic journals considered by the ASP to be of "tier-1" or "tier-2" stature,<sup>3</sup> (which may also include e-publications), and book chapters in peer-refereed collections published by a reputable academic press. Other forms of responsibility for assuring that the candidate's scholarship is of the quality to meet the tenure and promotion criteria include: presenting papers in academic conferences and seminars hosted by, or related to the field and participating in other relevant ways (such as musical performances or art exhibitions for faculty whose field is in the fine arts), and in general, continuing to be productive with one's research and publications.

**A. 6.** Teaching is also considered seriously in the tenure and promotion process. Assistant professors seeking tenure and promotion must address their commitment to teaching in their application, and must demonstrate increasing effectiveness and accomplishment as teachers. They must also document a record of meaningful service to the Program, the University and the community. Faculty teaching and their course evaluations by students are conducted every term by the ASP, and the raw and summarized data are archived. This

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<sup>2</sup> If yet unpublished at the time of tenure application, the Asian Studies Program accepts signed written contracts of forthcoming books and articles.

<sup>3</sup> See Appendix 1, Provisional List of Journals that has been established by the faculty of the Asian Studies program as "tier-1" and "tier-2" journals in the field of Asian Studies.

data is reviewed by the Program Chair, while each faculty also receives a copy of his/her individual scores ranging from 1 to 5 with the latter being the highest. These records must be part of the tenure and promotion dossier. Mentoring students individually and serving on Master's and PhD committees campus-wide, are considered part of one's teaching responsibilities.

**A. 7.** University and Professional Service are also considered in the tenure and promotion process. That includes serving on various Program and University-wide committees, such as Curriculum, Futures, and DPC (at the Program level) and TPRC, Graduate Council, Faculty Senate, UHPA, and Search Committees (at the University level). Professional Service also includes enhancing Asian Studies as a field, locally, nationally, and internationally. This could be in the form of *op eds* in the media, lectures and artistic performances at both local (the University of Hawaii and the larger Hawaii community) and national and international venues. Since "profession" includes the Asian Studies community world-wide, providing references for ex-students seeking employment, assessment of colleagues in the field applying for tenure and/or promotion, evaluating Asia programs at universities elsewhere, and teaching about Asia abroad are all considered to be pertinent.

## **B. Procedures, Processes, and Materials**

**B. 1.** Assistant professors intending to apply for tenure and promotion should notify the Program and the DPC Chairs as soon as possible, preferably before the end of the academic year prior to applying. The Program and DPC Chairs will notify candidates of application deadlines, of relevant Program and University regulations and procedures, and answer queries concerning applications.

**B. 2.** The candidate shall assemble for DPC review a dossier<sup>4</sup> of materials. As a guideline applicants ought to consider:-

- a.** Copies of publications and manuscripts accepted for publication
- b.** Reviews of published materials, readers' reports on unpublished materials, and copies of papers presented at scholarly conferences
- c.** A teaching evaluation appendix that includes a statement of the candidate's aims as a teacher; a self-assessment of the candidate's teaching; information on classes taught, including teaching load, class size, and status of courses taught (lower-division, upper division, or graduate, required or elective); evidence of commitment to and success in teaching, including sample course syllabi and other materials that demonstrate the nature and content of courses taught; evidence of revisions to update or improve courses; student evaluations of all courses taught, using the scale devised by the Asian Studies program, and summaries of the evaluations; peer evaluations of teaching based on a class visitation by a representative of the sub-committee; evidence from graduate assistants who have worked with the candidate; a statement of the candidate's involvement in the graduate program.
- d.** Documentation of the candidate's University and Professional Service activities, including letters of commendation or recognition for service rendered; copies of

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<sup>4</sup> See "Assessment for Probationary Contract and Tenure & Promotion Review-Assessment Dossier for DPC and Program Chair."

programs on which the candidate appeared; a list of all service on committees of the Program, College, University, and professional associations.

### **C. Evaluation of Applications**

**C. 1.** The Program delegates to the DPC the function and responsibility for evaluating and making recommendations on applications for tenure and promotion to associate professor. As noted above, the DPC consists of all tenured members of the “regular faculty” of ASP. This includes “directors” of SPAS’s Area Studies Centers, with equal or higher rank than the candidate.

**C. 2.** The DPC shall evaluate applications for tenure and promotion to associate professor according to procedures (specified below in section D) adopted by its members and consistent with these *Guidelines* and with other relevant Program and University regulations. Committee members obligate themselves to read and weigh the body of materials submitted by a candidate and to recommend approval or disapproval of the application on the basis of informed assessments of those materials and in accordance with standards specified in this document. The Program charges the DPC with responsibility for assuring itself that the candidate’s scholarship is of the quality and quantity to meet the criteria noted in Section I, paragraphs A, 5, 6 and 7.

**C. 3.** To assist the Committee in its evaluations, the DPC Chair in cooperation with the Program Chair shall solicit external evaluations of the applicant’s scholarship. The solicitation and handling of the evaluations shall accord with the *Mānoa Criteria and Guidelines*. To secure external evaluations, the DPC Chair shall ask the applicant to provide in writing the names of four to five respected scholars in his or her field of specialty and/or discipline outside the University of Hawaii. The DPC Chair shall also select other four to five respected scholars in the candidate’s field and/or discipline—within or outside the University—with the advice and assistance of other members of the DPC.

**C. 4.** From each of the above noted two categories, the DPC Chair, in cooperation with the Program Chair shall contact several referees to provide candid evaluations of the applicant’s scholarship. Evaluators will be sent sample copies of the candidate’s published and unpublished scholarship and curriculum vitae. The DPC and Program Chairs shall NOT ask the evaluators whether the applicant should be tenured and promoted, but will inform them that their evaluations will be used in assessing the candidate’s application for tenure and promotion. The applicant’s dissertation committee Chair shall NOT be among those asked for an evaluation, and referees will be asked to explain their relationship to the applicant in order to avoid any conflict of interest.. All solicited evaluations will be placed in the applicant’s dossier, and will be kept confidential from the candidate.

### **D. DPC Procedures**

**D. 1.** The applicant submits materials to the DPC Chair.

**D. 2.** The DPC Chair forwards these materials to the Review Subcommittee (hereafter, “Subcommittee”). This consists of three individuals: The Director of the relevant Center, a tenured colleague from within Asian Studies Program selected by the DPC Chair, and a tenured colleague from outside the Asian Studies Program but within the University who

has been nominated by the applicant and forwarded to the DPC Chair.

**D. 3.** The materials (including confidential evaluation letters from colleagues outside the University) are made available for Subcommittee review.

**D. 4.** A representative from the Subcommittee will observe and evaluate the applicant's classroom teaching.

**D. 5.** The Subcommittee meets to review and discuss in detail the application and the supporting materials. The Subcommittee provides a written report to the DPC at a meeting called for this purpose. The third member of the Subcommittee, selected from the applicant's list, is not present at this DPC discussion.

**D. 6.** After open discussion, the DPC votes by confidential ballot; that is, each ballot is signed and seen only by the DPC Chair and members of the Subcommittee, who tabulate them.

**D. 7.** The outcome is announced to the DPC. The DPC drafts and approves a statement to be submitted with its recommendation to the Program Chair.

**D. 8.** The DPC's recommendation and statement are forwarded to the Program Chair.

### **E. Responsibility of the Program Chair**

**E. 1.** The Program Chair shall review the DPC Recommendation and make an independent and separate written assessment and recommendation of the candidate for tenure and promotion to associate professor, which the candidate can read, and may reply to in writing. The Chair's assessment and recommendation, plus the written reply, if any, shall be part of the record of the application forwarded to the Dean of the School of Pacific and Asian Studies by mid November. In making the assessment and recommendation, the Chair shall take cognizance of, and comment on any significant disparity between the Chair's and the DPC's assessment and recommendation.

**E. 2.** The Program Chair shall forward the completed application to the Dean of the School of Pacific and Asian Studies.

## **Section II: Promotion to Full Professor**

### **A. Procedures and Considerations**

**A. 1.** The process of applying for full professor shall be the same as applying for promotion to associate professor described above with a minor exception noted herein. The candidate must complete the University application form, supply the same kinds of supporting materials and documentation, and the review process by the DPC and the Program Chair shall be the same. However, in-classroom evaluation by the Subcommittee as described above may be waived by the Program Chair and the DPC Chair, if the teaching record of the candidate, on average, is ranked above 4 (from a total of 5) on the evaluation scale developed by the program by the Program Chair and the DPC Chair.

**A. 2.** Promotion to full professor requires a higher level of achievement, especially in terms of research and publications. An associate professor applying for promotion to full professor must document the kinds of scholarly achievements that recognize his/her

international stature in one or more areas of Asian Studies. Publication of scholarship in books, articles, chapters in books, and other accepted forms is the *basic* and indispensable means of documenting that achievement. For promotion to full professor, at least two single-authored, peer refereed books published by a reputable academic press are required. Since the previous promotion, the applicant is also expected to have published several single-authored and peer refereed articles in academic journals considered by the ASP to be of “tier-1” or “tier-2” stature and/or book-chapters in peer-refereed collections published by a reputable academic press. As with tenure and promotion to associate professor, a signed contract of forthcoming scholarship is also acceptable as proof. In cases where it applies, artistic performances and exhibitions of unequivocal merit that are deemed equivalent by peer-referees will also be considered.

**A. 3.** The applicant must also demonstrate continued involvement in University and professional activities, a willingness to use professional competence in the service of the profession, the University, and the community; and a mature level of performance and achievement as a teacher, including the versatility to teach at all levels of the Program's instructional program. The applicant must document these with the same kinds of materials listed in the section above on tenure and promotion to associate professor.

#### **B. For Faculty Members Appointed at the Rank of Associate or Full Professor**

**B. 1.** Faculty members appointed at the rank of associate or full professor upon hire must undergo contract renewal reviews until receipt of tenure. The Program will make appointments at these ranks only on the basis of demonstrated distinction in scholarship and teaching, University and professional service, and assumes that the contracts of such appointees will be renewed.

#### **Section III: Contract Renewal for Untenured and Tenure-Track Assistant Professors**

**A. 1.** The DPC shall conduct contract renewal reviews of probationary faculty as specified in the 2015-2017 *Agreement* and in the present document. The purpose of the reviews is to protect and enhance faculty quality, and to assist untenured faculty through the process. The review shall focus on the academic and professional activities and achievements through which faculty members earn tenure and promotion. It therefore encourages quality in scholarly productivity, distinction in University and professional activity, excellence in teaching, and collegiality in service.

**A. 2. Procedures:** Upon notification by the personnel office of SPAS, the Program Chair shall notify the DPC Chair and pertinent individual faculty member of pending contract renewal reviews. The faculty member shall then compile an application consisting of materials documenting activities and achievements that justify contract renewal. These materials shall include such items as the following:

- a.** Copies of publications and manuscripts accepted or submitted for publication, unpublished papers delivered at professional conferences, and funding received for research.
- b.** Reviews of publications, evaluations of unpublished manuscripts and unsolicited letters commenting on conference presentations.

- c. A statement of ongoing research and writing, including comment on the progress being made toward publishing a scholarly book. The latter is especially important because tenure and promotion depends upon the publication of such a book.
- d. A statement of past, present, and planned professional activity, and of professional recognition, including awards, grants, and other marks of professional distinction.
- e. Information concerning classes taught, teaching load, and class enrollments; and copies of representative course syllabi indicating the nature and content of the courses taught.
- f. Evaluations of teaching as specified below. Candidates may also request teaching assistants who have observed their teaching to address written evaluations to the Asian Studies Program.
- g. A list of service activities in the field of Asian Studies, the Program, the University, as well as the local, national, and international communities should be mentioned. Committee assignments at all levels, speaking engagements, and other similar activities, and evidence of recognition or commendations for such activities should also be mentioned.

**A. 3. Evaluation of Teaching:** The Program encourages excellence in teaching and shall use contract renewal, tenure, and promotion processes to that effect. Probationary faculty shall have student evaluations completed in all classes each term. Candidates must use the Program's most current evaluation form that requires an overall quantifiable evaluation on a scale of 1 to 5.

**A. 4.** Students shall complete teaching evaluation forms in class, and the candidate shall designate a student to collect the completed forms and deliver them to the Program office. The Program then scans the teaching evaluations, including all written comments as raw data, and produces a report. A copy of the report goes to the candidate for comment and input while an original is filed with the Program office and Chair of the Program. Please note that: 1) the locus of the class evaluations is in the Program, 2) the evaluations are archived in the Program office, 3) the candidate has access to his/her respective file, 4) the candidate may copy the contents of his/her respective file, and 5) the candidate may not remove the contents of his/her respective file.

**A. 5. Overall Evaluation:** The DPC shall evaluate the completed application according to procedures in place, and on the basis of the evaluation, recommend contract renewal or termination. The Committee's recommendation, written by the DPC chair, shall comment on actual or potential problems that might affect the candidate's tenurability. The letter shall include the vote count and reflect the sentiments expressed in Committee deliberations, especially those concerning the continuing need for the candidate's services at the University as well as the candidate's professional development.

**A. 6.** The Program Chair shall evaluate the candidate independently of the DPC and submit in writing his/her recommendation to the Dean. The candidate may read, and may reply in writing to both written recommendations; and both the recommendations and the reply, if any, shall be part of the record of the contract renewal forwarded to the Dean of the School of Pacific and Asian Studies by mid November.

**A. 7.** Once this process is complete, the DPC Chair shall return to the candidate all materials supplied by the candidate.

**A. 8.** In reviewing and evaluating applications for contract renewals, the DPC shall adhere to the following guidelines:

1. Recommendations for renewal shall require that the applicant's performance has been assessed for strengths and weaknesses and has been rated as satisfactory, that there is a continuing need for the applicant's services at the University, and that the applicant has made the kinds of professional improvements and qualities desired and needed by the Program.

2. Contract renewals generate paper trails. Repeated unqualified recommendations for contract renewal may make it difficult later to justify denial of tenure should denial become necessary or desirable. Votes for contract renewal are not votes for tenure, especially if accompanied by statements of perceived problems the candidate must correct. One purpose of the review process is to identify such problems, if any, in order to assist candidates in overcoming them. Recommendations by the DPC and Program Chairs supporting renewal should, therefore, candidly note actual or potential problems that might jeopardize future tenure and promotion.

3. See 2015-2017 "Agreement", Article XII B, for contract termination notification deadlines.

4. Whether or not the final contract renewal will be terminal is a basic decision in the evaluation of probationary faculty. The DPC shall use the occasion for conducting a thorough evaluation of the candidate, which shall serve as a template for all subsequent contract renewal reviews. The candidate shall provide concrete evidence of making progress toward publishing a monograph and other forms of scholarship (as noted above in Section I, A.5, 6, and 7). Members of the DPC shall review these manuscripts, and assess the candidate's prospects for meeting the publication requirement for tenure and promotion. The DPC and Program Chair shall offer advice and assistance to candidates deemed to have actual or potential difficulties in eventually meeting the requirements for tenure.

February, 2014 **Appendix I: Provisional List of Journals** considered by the faculty of the Asian Studies Program to be of "Tier-1" and "Tier-2" stature in the field of Asian Studies or in a particular discipline. Peer-reviewed e-journals of similar standing will also be considered

### **Tier 1 (Inter-disciplinary)**

American Journal of Chinese Studies American Journal of Philology Archipel  
Asian Geographer (Hong Kong)  
Asian Music Asian Survey Asian Theatre Journal Bulletin de l'École française d'Extrême-Orient  
Bulletin of the School of Oriental & African Studies China Journal  
China Perspectives (Hong Kong) China: An International Journal (Singapore)  
Comparative Studies in Society and History Contemporary Japan Critical Asian Studies  
Development & Change Development Economics Economic and Political Weekly Economic  
Development & Cultural Change Environment & Planning (series A-D)  
European Journal of East Asian Studies  
European Planning Studies Housing Studies  
Indonesia  
Inter-Asia Cultural Studies (Taiwan) International Journal of Okinawan Studies  
International Journal of Urban & Regional Research



Japan Forum Japanese Studies Journal Asiatique  
 Journal of American Planning Association  
 Journal of Asian American Studies Journal of Asian Studies  
 Journal of Chinese Political Science  
 Journal of Contemporary Asia  
 Journal of Contemporary China Journal of Development Economics Journal of Development Studies  
 Journal of Interdisciplinary History Journal of Japanese Studies Journal of Korean Studies (U of Washington & Stanford Univ) Journal of Planning Education & Research  
 Journal of South Asian Studies Journal of Southeast Asian Studies Journal of the American Oriental Society Journal of the Malaysian Branch of the Royal Asiatic Society Journal of the Siam Society  
 Journal of Urban Affairs Journal of Urban Economics  
 Journal of Vietnamese Studies Korean Studies (Univ. of Hawaii) Modern Asian Studies  
 Modern China  
 Monumenta Nipponica  
 Nannu: Men, Women, and Gender in early & Imperial China  
 Pacific Affairs Pacific Review  
 Philippine Studies: Historical and Ethnographic Viewpoints (Ateneo)  
 Positions: East Asia Cultural Critique Regional Science & Urban Economics Regional Studies  
 Seoul Journal of Korean Studies (Seoul National University) Social Science Japan Journal  
 South East Asia Research Southeast Asian Studies (Kyoto)  
 The American Journal of Chinese Studies The China Quarterly The China Review (Hong Kong) The China Review (Hong Kong) The Chinese Historical Review The Chinese Historical Review  
 The Journal of Critical Asian Studies  
 The Journal of Development Studies Third World Quarterly  
 T'oung Pao (the Netherlands)  
 Town Planning Review Twentieth Century China Urban Affairs Review Urban Geography  
 Urban Studies  
 Word  
 World Development

### **Tier 1 (Disciplinary)**

American Anthropologist American Ethnologist American Historical Review American Political Science Review Annual Review of Anthropology Anthropological Quarterly Cultural Anthropology Ethnomusicology Ethnomusicology Forum Ethnos Focaal Journal of Linguistic Anthropology Journal of the American Academy of Religion Popular Music and Society World of Music: New Series World Politics Yearbook for Traditional Music

### **Tier 2 (Inter-disciplinary)**

Anthropologica  
 Archiv orientální (Prague)  
 Asian Geographers

Asia-Pacific Bulletin (EWC)  
 Asia-Pacific Issues (EWC)  
 Asia-Pacific Journal of Anthropology  
 China Business Review  
 China Information  
 Chinese Literature: Essays, Articles, Reviews  
 Cities  
 Culture Journal of Oriental Studies  
 East Asian History (Australia)  
 Electronic Journal of Japanese Studies  
 Environment & Urbanization Asia  
 European Bulletin of Himalayan Research  
 European Journal of East Asian Studies  
 Habitat International  
 Harvard Journal of Asian Studies  
 Himalaya  
 International Journal of Asian Studies  
 International Planning Studies  
 International Review of Korean Studies (U. of [New?]South Wales)  
 Issues and Studies  
 Japan Studies Association Journal  
 Japan Studies Review  
 Journal of Asian and African Studies  
 Journal of Burma Studies  
 Journal of Chinese Cinemas  
 Journal of Housing & the Built Environment  
 Journal of Oriental Studies (Hong Kong) Journal of Popular Music Studies Journal of the  
 American Oriental Society Journal of the Economic and Social History of the Orient Journal  
 of the Royal Asiatic Society Korea Journal (UNESCO Korea)  
 Modern Chinese Literature and Culture  
 Music and Letters Music and Politics Nghiên cứu Lịch Sử (Journal of Historical Research  
 Hanoi)  
 Provincial China Public Administration & Development Public Administration Review  
 Review of Korean Studies (The Academy of Korean Studies, Korea) Social Science Japan  
 Newsletter Sojourn South Asian Popular Culture Studies in Nepali History and Society  
 Sustainable Development  
 Tạp chí Hán Nôm (Journal of Classical Vietnamese Studies – Hanoi) Tạp chí Khảo cổ học  
 (Journal of Archæology – Hanoi) Tạp chí Ngôn ngữ (Journal of Linguistics – Hanoi) The Asia-  
 Pacific Journal: Japan Focus The China Review (same as above?) TRANS: Trans—Regional  
 and—National Studies of Southeast Asia (Seoul) Visual Anthropology Review