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UHPA Date

[Signature] 10/12/15  
Mānoa Chancellor's Office Date

DEPARTMENT OF FINANCIAL ECONOMICS AND INSTITUTIONS

SHIDLER COLLEGE OF BUSINESS

Procedures for Periodic Review of Faculty Promotion and Tenure Reviews and Contract Renewals

(Approved August 28, 2015)

The procedures for promotion and/or tenure review will be conducted according to University policies and the University-UHPA Agreement. Within this framework, however, the Department of Financial Economics and Institutions (FEI) institutes the following procedures:

**I. Procedures for Promotion and Tenure**

- A. For the purposes of promotion and tenure and contract review, the department will establish a single Departmental Personnel Committee (DPC). The DPC will consist of a minimum of five tenured members (Bargaining Unit 7) of the department eligible to serve on the DPC. All qualified faculty must serve on the DPC unless exempt or excused. If there are fewer than five such tenured members available to serve, the Dean of the Shidler College of Business (Dean), in consultation with the department chair (DC), may constitute a DPC comprised of the tenured Bargaining Unit 7 faculty of the department, with an appointment of .25 FTE or greater, plus UHM tenured faculty from other related disciplines.
- B. DPC members must be physically present to vote on a particular case. No absentee ballots or proxies are permitted. All final votes shall be by secret ballot.
- C. If there are personal reasons why an individual should not serve on the DPC, including the potential of a conflict of interest, the individual should excuse him/herself via a confidential memo to the Dean and/or DC.
- D. Only tenured Bargaining Unit 7 faculty of equal or higher rank to which the applicant has applied for promotion and who are not themselves up for a promotion decision, are eligible to serve on the DPC.
- E. The department will utilize the College criteria in addition to the University criteria for both promotion and tenure. No additional criteria are required except for authorship. The convention is to list all authors in alphabetical order. Candidates for promotion and/or tenure should provide statements from co-authors as to the percentage contribution of each author in an article.
- F. Each member of the DPC will study the entire dossier and participate in the DPC discussions. Internal procedures as to division of labor among the DPC members may be decided by the committee.

- G. Outside peer reviews of a candidate's research are required. The reviewers should be leading authorities at major research institutions, and be knowledgeable to comment on the candidate's contribution to that field. The outside reviewers will be selected as follows:
1. The candidate will nominate up to six outside reviewers (people who are close personal friends or members of the candidate's doctoral committee must not be included.) This list will be given to the DC.
  2. The DC in consultation with the DPC will nominate up to six outside reviewers. The DC will ensure that there will be an equal number of reviewers selected from both the candidate's and department's lists.
  3. The DC will take the two lists of up to twelve nominees to the Dean. The letter to the reviewers will be sent out by the Dean to all nominees. Included with the request will be copies of the candidate's dossier and selected publications as the Dean and DC chair will mutually agree.
  4. The names of the reviewers will not be given to the candidate.
- H. Student and peer reviews of teaching and/or service shall be provided by the candidate.
- I. All deliberations, actions and outcomes of the DPC will be kept confidential. Discussions with anyone outside the committee (other than DC and/or Dean on request to clarify issues) are prohibited. This provision includes discussions with the candidate.
- J. Late material, e.g., outside review letters, letters of acceptance of submitted papers, may be admitted to dossier prior to submission to the Dean.
- K. Either the DPC or the DC may suggest that the applicant make revisions in the dossier.
- L. After the DPC and DC make a recommendation for promotion/tenure to the Dean, the applicant shall have the right to prepare a statement which will be affixed to the dossier before transmittal to the next level of review.

## **II. Procedures for Contract Renewal**

- A. For purposes of contract renewal, the department will establish a single Departmental Personnel Committee (DPC). The DPC will consist of a minimum of five tenured members (Bargaining Unit 7) of the department eligible to serve on the DPC. If there are fewer than five such tenured members available to serve, the Dean in consultation with the department chair, may constitute a DPC for the department, comprised of tenured Bargaining Unit 7 faculty of the department, with an appointment of .25 FTE or greater, plus UHM tenured faculty from other related disciplines.

- B. DPC members must be physically present to vote on a particular case. No absentee ballots or proxies are permitted. All final votes shall be by secret ballot.
- C. If there are personal reasons why an individual should not serve on the DPC, including the potential of a conflict of interest, the individual should excuse him/herself via a confidential memo to the Dean and/or DC.
- D. The department will utilize the College criteria in addition to the University criteria for contract renewal. No additional criteria are required except for authorship. The convention is to list all authors in alphabetical order. The faculty member should indicate their contribution in percentage terms to any co-authored work.
- E. Each member of the DPC will study the entire file and participate in the DPC discussions. Internal procedures as to division of labor among the DPC members may be decided by the committee.
- F. Only tenured Bargaining Unit 7 faculty members are eligible to serve on the DPC.
- G. Student and peer reviews of teaching and/or service shall be provided by the faculty member.
- H. All deliberations, actions and outcomes of the DPC will be kept confidential. Discussions with anyone outside the committee (other than the DC and/or Dean on request to clarify issues) are prohibited. This provision includes discussions with the faculty member.
- I. Late material, e.g., letters of acceptance of submitted papers, may be admitted to file so long as it has not been fully reviewed by the Dean.
- J. All recommendations by the DPC and DC will be shown to the faculty member. The faculty member will have the opportunity to add to the file supplements prior to submission of the file to the Dean.

