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DEPARTMENTAL  
CRITERIA FOR CONTRACT RENEWAL, TENURE AND PROMOTION  
FIRST YEAR PROGRAMS  
OFFICE OF UNDERGRADUATE EDUCATION  
UNIVERSITY OF HAWAI'I AT MĀNOA

**Department Procedures Governing Contract Renewal, Tenure, and Promotion**

I. Procedures for Contract Renewal

A. Formation of the Departmental Personnel Committee (DPC) and Faculty Personnel Committee (FPC)

1. The DPC/FPC will consist of five or more tenured faculty who will serve for a period of one year.
2. As individual units under the Office of Undergraduate Education (OUE) do not have enough tenured members to form a DPC, the Assistant Vice Chancellor for Undergraduate Education or his/her designee (AVCUE) will in consultation with the directors of each unit, form joint OUE FPCs for all units in a given year.
  - a. Until there are enough faculty members in OUE to form a DPC, candidates will be asked to submit names of individuals who might be eligible to serve on the FPC for consideration. Eligible faculty within OUE will be utilized, with the remaining members chosen from University of Hawai'i at Mānoa (UH Mānoa) tenured full-time faculty from related disciplines.
  - b. Individual candidates will be given an opportunity to request exclusion of up to one FPC member if the candidate believes that a conflict exists that would prevent a faculty member's fair evaluation of a tenure or promotion application made by the candidate. The request must be received by the AVCUE within a week of the announcement of the potential FPC members.
3. Any individual who is not a tenured Bargaining Unit 07 member is strictly excluded from voting for the tenure or contract renewal of another faculty member.

B. General Requirements/Purpose of Contract Renewal

1. University requirements relating to length of faculty probationary periods, procedures, and schedules for contract renewal or termination of appointment for non-tenured faculty are contained in the current Board of Regents (BOR)/University of Hawai'i Professional Assembly (UHPA) Agreement.
2. For First Year Programs (FYP) specialist faculty, the procedures described in this document are intended to aid in meeting the University's requirement for assessment of the candidate before a contract is renewed, but also to:
  - a. Provide the candidate an opportunity to prepare an application that gives an overview of accomplishments and work in progress to assist the DPC/FPC in assessing strengths and weaknesses.

- b. Provide the candidate, the Department Chair, and the candidate's colleagues an opportunity to discuss candidly the candidate's day-to-day performance and professional future and to stipulate areas where improvements, if needed, should be made.
    - c. Only faculty members of equal or higher rank will be selected to vote for the tenure or contract renewal of another faculty.
  - C. Criteria for Contract Renewal
    - 1. In general, a specialist faculty's contract may be renewed if:
      - a. Performance of assigned duties has been rated satisfactory;
      - b. There is a continuing need for her/his services, particular knowledge, and/or skills; and
      - c. S/he has shown evidence of continued professional improvement and demonstrates professional and personal qualities needed for work in the unit commensurate with the level of appointment.
    - 2. The evaluation of the candidate's performance will be based on the criteria outlined in the Department's *Criteria for Contract Renewal, Tenure, and Promotion, First Year Programs, University of Hawai'i at Mānoa*.
  - D. Timeline
    - 1. In September, the DPC/FPC committee will be selected. Those selected individuals will be asked to serve on their respective committees for a period of one year.
    - 2. By September, the Department Chair will notify the candidate in writing that s/he is scheduled for contract renewal. In the letter, the candidate will be informed that materials for contract renewal should be submitted prior to the "notification of renewal deadline."
  - E. Review Steps
    - 1. The DPC/FPC reviews the document submitted by the candidate and submits their assessment of the candidate and recommendation to the Department Chair. All final voting will occur by secret ballot.
    - 2. The Department Chair reviews the material submitted by the candidate as well as the recommendations of the DPC/FPC. The Department Chair then makes an independent assessment and completes a written recommendation about the candidate.
    - 3. The recommendation of the DPC/FPC and the Department Chair will be made available to the candidate for review.
    - 4. The candidate meets with the Department Chair and reviews the written recommendations of the DPC/FPC and the Department Chair.
    - 5. The entire document and recommendations are forwarded to the AVCUE.
    - 6. The AVCUE, based on all the evidence, assesses and decides on contract renewal, completes the appropriate form, and notifies the candidate.
- II. Procedures for Tenure and Promotion
  - A. Formation of the DPC/FPC
    - 1. The DPC/FPC will consist of five tenured faculty members whose eligibility is determined by the current BOR/UHPA agreement. Committee members will serve for a period of one year.

2. As individual units under the OUE do not have enough tenured members to form a DPC, the AVCUE will, in consultation with the directors of each unit, form joint OUE FPCs for all units in a given year.
    - a. Until there are enough faculty members in OUE to form a DPC, candidates will be asked to submit names of individuals who might be eligible to serve on the FPC for consideration. Eligible faculty within OUE will be utilized, with the remaining members chosen from UH Mānoa tenured full-time faculty from related disciplines.
    - b. Individual candidates will be given an opportunity to request exclusion of up to one FPC member if the candidate believes that a conflict exists that would prevent a faculty member's fair evaluation of a tenure or promotion dossier made by the candidate. The request must be received by the AVCUE within a week of the announcement of the potential FPC members.
    - c. Any individual who is not a tenured Bargaining Unit 07 member is strictly excluded from voting for the tenure or contract renewal of another faculty member.
- B. General Requirements/Purpose of Tenure/Promotion
1. The evaluation of the candidate's performance will be based on the criteria outlined in the Department's *Criteria for Contract Renewal, Tenure, and Promotion, First Year Programs, Office of Undergraduate Education, University of Hawai'i at Mānoa*.
  2. For tenure:
    - a. The general reasons for granting tenure are that the University has concluded that the candidate:
      - i. Is and will continue to be a productive and valuable member of the unit;
      - ii. Has shown a pattern of continuing professional growth that is positive; and
      - iii. Will contribute toward meeting a long-term need of the institution because of the individual's professional specialty and services.
    - b. The applicant must also meet additional criteria established by the Department. In addition, the candidate must meet the specific criteria for specialist faculty as outlined in the current *Criteria for Contract Renewal, Tenure/Promotion Application, University of Hawai'i at Mānoa*.
  3. For promotion:
    - a. In order to be considered for promotion, the candidate must meet the minimum qualifications established by the BOR for the rank to which promotion is sought. The applicant must also meet additional criteria established by the Department. In addition the candidate must meet the specific criteria for specialist faculty as outlined in the current *Criteria for Contract Renewal, Tenure/Promotion Application, University of Hawai'i at Mānoa*.
  4. Only faculty members of equal or higher rank to which the applicant is applying for can vote on applications for promotions.

5. The Department Chair shall not participate in any form of communication in the deliberations of the DPC/FPC over individual tenure and promotion recommendations.
- C. External Evaluators for Tenure/Promotion
1. As part of the tenure/promotion process, external evaluations of each candidate's work will be included in the document. The candidate will be asked to provide the AVCUE with five names and contact information of individuals who work in the field of learning communities, are not in the UH System, and do not have a conflict of interest. The external evaluator should be able to make an objective assessment of the candidate. The Department Chair will also create a similar list of individuals. It is the obligation of the Department Chair/AVCUE to secure an equal number of external evaluations from both lists. An external evaluator should hold a position equivalent or higher to the rank to which the candidate is applying. The candidate should not contact the possible external evaluators regarding the tenure and promotion process.
  2. The same basic 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 as well as other supporting materials, selected by the candidate in consultation with the Department Chair. The purpose of the request is to obtain an opinion about the contributions that the candidate has made and not to determine whether or not the candidate would receive tenure/promotion at another institution. The Department Chair should refer to the current *Criteria and Guidelines for Faculty Tenure/Promotion Application, University of Hawai'i at Mānoa* for the procedures for handling the evaluations from external evaluators in order to maintain confidentiality.
- D. Confidentiality and Access to the Dossier
1. During deliberations, members of the DPC/FPC and those in supervisory and administrative positions within the Department see privileged information. Access to a candidate's dossier is limited at each review step to those individuals deliberating on the dossier at that step. A candidate is advised to retain a copy of the dossier exactly as submitted.
  2. Information provided by external reviewers will be kept confidential. Any material submitted to the DPC/FPC relating to an individual's application becomes part of the dossier and must be retained and move forward with the document. In addition, no anonymous material will be accepted at any level of deliberation.
- E. Timeline
1. In September, the DPC/FPC committees will be selected. Those selected individuals will be asked to serve on their respective committees for a period of one year.
  2. By September, the Department Chair will notify the candidate in writing that s/he is scheduled for tenure and/or promotion review. In the letter, the candidate will be informed that materials for tenure should be submitted prior to the University deadline.

3. By September, the Department Chair will begin the process of soliciting the names of external evaluators and collect materials from the candidate to be included in the external evaluation process.

F. Review Steps

1. All steps of review will be held in accordance with the current *Criteria and Guidelines for Faculty Tenure/Promotion application, University of Hawai'i at Mānoa*. At the DPC/FPC level, all final voting will occur by secret ballot.

III. Guidelines and Procedures for Five-Year Review

- A. FYP at UH Mānoa hereby establishes the following procedures for review of its tenured specialist faculty. The guidelines that follow refer to and summarize parts of three different pre-existing documents:
  1. *Procedures for Evaluation of Faculty at UH Mānoa* (Revised 2014)
  2. *Departmental Personnel Committee Policies & Procedures, First Year Programs, University of Hawai'i at Mānoa* (Approved December 18, 2015)
  3. *Criteria and Guidelines for Faculty Tenure/Promotion Application, University of Hawai'i at Mānoa* (September 2014)
- B. The *Board of Regents Bylaws and Policy* Section 9.213 establishes the general guidelines for periodic evaluation of faculty and provides for a review once every five years. FYP candidates identified for five-year review should read the *Procedures for Evaluation of Faculty at UH Mānoa* that describes this review process.
- C. As stipulated by the *Procedures*, appropriate Department leaders will notify those faculty members who are to be reviewed no later than September 1. FYP candidates identified for five-year review should turn in their review materials (described in the next section) by December 1.
- D. Specialist faculty identified for five-year review will submit a curriculum vita, résumé, or "professional profile" describing their professional activities since the last review (e.g., application for tenure or promotion, five-year review, etc.). This written document should reflect the Department's mission, requirements, and expectations for the specialist faculty's rank or classification. Materials submitted by specialist faculty should address the following categories detailed in *Departmental Personnel Committee and Procedures for Tenure and Promotion*:
  1. Professional Activities and Functions
  2. Scholarly Contributions and Professional Development
  3. University and Community Service
- E. It is expected that specialist faculty will continue to perform at the professional level at which they were tenured or to which they have been promoted. Therefore, specialist faculty will be evaluated according to the general criteria/requirements for their rank as described by the current *Criteria and Guidelines for Faculty Tenure/Promotion Application*. Evidence bearing on the criteria described by the following standards should be submitted, according to the job level being reviewed:
  1. All Specialists (S-2 through S-5)
    - a. Professional achievement and productivity.
    - b. Professional growth in the specialty.



- c. Service to the professional and lay communities.
- d. Ability to work effectively with faculty, staff, and administrators.
- 2. Assistant Specialists (S-3)
  - a. Competence, productivity, continued professional achievement, and maturity.
  - b. Performance of duties calling for independent professional judgment in the field of specialization.
  - c. Indication of the capacity to supervise clerical help as appropriate.
- 3. Associate Specialists (S-4)
  - a. Continued professional maturity in the professional specialization.
  - b. Ability to competently exercise independent professional judgment.
  - c. Ability to supervise the work of assistants as appropriate and to plan and organize assigned activities.
  - d. Professional achievement that reflects his/her stature as a contributor to the standards, techniques, and methodology of the profession.
  - e. Interaction with the broader professional community beyond UH Mānoa.
- 4. Specialists (S-5)
  - a. Continued productivity and professional maturity.
  - b. Ability to competently exercise independent professional judgment.
  - c. Evidence of successful planning and organization of assigned activities, including the supervision of assistants if appropriate.
  - d. Professional achievement that establishes his/her stature as a substantial contributor to the standards, techniques, and methodology of the profession.
  - e. Evidence of significant interaction and leadership with the broader professional community beyond the University.

#### IV. Amendments to the Document

- A. As indicated in the current BOR/UHPA Agreement, amendments to the *Department Procedures Governing Contract Renewal, Tenure, and Promotion* procedures may be recommended from time to time at the discretion of the Department.
- B. The proposed amendments shall be sent through the AVCUE to the appropriate Vice-Chancellor and UHPA for review and approval, which shall not be unreasonably withheld. Approved amended procedures shall be filed with UHPA and the AVCUE. If there are any changes, the applicant will have the option for a period of two years to select whether the current or newly revised set of procedures are to be used by the DPC/FPC.

**ADDENDUM A**  
**Departmental Criteria For Contract Renewal, Tenure, and Promotion**

**I. INTRODUCTION**

**A. First Year Programs**

Over the past twenty years, institutions across the world have developed thousands of first-year intervention programs to encourage student success in the first year, such as learning communities and freshman seminars. The Policy Center on the First Year of College reports that 94% of accredited four-year colleges and universities in America offer a first-year seminar to at least some students and over half offer a first-year seminar to 90% or more of their first-year students.

A large body of literature indicates that first-year programs have a positive impact on student academic success and social integration. Researchers have shown that seminar participants earn, on average, higher grades in other first-year classes and are less likely to be placed on academic probation; they have higher frequencies of participation in campus activities or services; and they report more out-of-class connections with faculty members.

First Year Programs (FYP) at the University of Hawaii at Manoa (UHM) supports college freshmen's transition to UHM through the development of academic success strategies, diverse social interactions, and engagement in campus communities. FYP provides Access to College Excellence (ACE) learning communities and Freshman Seminars (FS) to help facilitate a successful first college year for UHM's newest students.

**B. Role of Faculty Specialists in FYP**

Organizationally, First Year Programs Office (FYP) reports to the Office of Undergraduate Education.

Faculty specialists in FYP work with advisors, faculty members, and departments to develop academic learning communities and freshman seminars. The specialists recruit and train peer mentors, create curriculum for freshmen success courses, and develop assessment tools to measure student learning

outcomes and program success. Thus, they require a thorough understanding of cognitive development and assessment, familiarity with academic fields and their culture, and an understanding of university culture. This requires close cooperation and liaison work with colleges/schools and academic programs.

The groundwork for a good academic journey is built on the relationships forged during a student's first years. As one of these early connections, FYP's aim is to facilitate a smooth academic transition for students, not only to the University, but also to their respective majors, schools, and colleges. Although FYP is not connected to a college or school, and therefore does not graduate any student, it is an integral part of the University campus, providing support for students as they explore and navigate the important process of selecting their majors and career paths and crafting a well-designed academic plan. FYP connects freshmen to important resources on campus, particularly academic advising centers. FYP also designs activities that provide the opportunity to develop relationships with students, faculty, and peer mentors.

FYP faculty specialists meet with undergraduates during an impressionable time of their academic careers. In FYP courses, the specialists' role includes the following:

- engage students in the educational planning process,
- connect students to academic and co-curricular resources on campus, and
- introduce students to other students and peer mentors with similar goals and interests.

These components of students' academic experience are crucial to satisfaction and retention, as they encourage the establishment of relationships with individuals, departments, and programs within the University and the development of a lasting commitment to the University.

### C. Objectives of First Year Programs

FYP faculty specialists are charged with the recruitment, orientation, and retention of first-time freshmen. Their role is to orient students to the resources provided by UHM and teach them effective learning strategies to help them succeed in college. FYP recruits and trains peer mentors to lead freshman seminars and provides support to students participating in learning communities.

Because FYP is the starting point for many incoming students, FYP faculty specialists often provide basic services (registration assistance, course selection and referrals) for incoming freshmen.

Their responsibilities support FYP's objectives, which include the following:

1. Develop curricula for first-year learning community seminars
2. Recruit and train peer mentors (who lead seminars)
3. Help students connect with each other, advisors, faculty and ultimately, help them feel connected to the University.
4. Assist students with their transition from being a high school learner to a university learner



5. Introduce students to resources that can support their academic work at UHM and other services that can give them assistance
6. Increase student retention to the sophomore year and subsequently through the senior year to graduation
7. Increase faculty and department participation in supporting first-year students
8. Help students develop a realistic self-perception and clarify their academic goals
9. Help students integrate information so they can make well-informed academic decisions
10. Engage students in their own academic planning processes so they take responsibility for their academic progress and success

## II. DEPARTMENT CRITERIA

### A. Board of Regents Minimum Criteria for Promotion

To be considered for promotion, the candidate must meet the minimum qualifications established by the Board of Regents (BOR) for the rank to which promotion is sought. (The candidate for promotion is referred to minimum qualifications established by the Board of Regents Executive Policy E5.221) In addition, the candidate must also meet the criteria as established by the Department. Promotion actually extends beyond meeting the minimum requirements. Promotion is an acknowledgment of the candidate's professional growth as evidenced by the quality, effectiveness, and continuity of the candidate's performance in all three of the following areas: professional activities and functions, scholarly contribution and professional development, and university and community service.

### B. Department Criteria for Contract Renewal, Tenure, and Promotion

Contract renewal, tenure and promotion may be recommended on the basis of professional growth as evidenced by the quality, effectiveness, and continuity of the candidate's total contribution to FYP.

The specific duties and responsibilities of faculty specialists in FYP include a range of activities. Acknowledging the myriad responsibilities undertaken by FYP and the necessary division of tasks, an individual faculty specialist's specific duties and responsibilities will include many, but not all, of the activities listed below. There also may be additional activities assigned which are not identified below. Those charged with the responsibility of evaluating a faculty specialist's performance must recognize that assignment of tasks will not be identical for each member of FYP. In addition, each faculty specialist should be evaluated on his/her overall performance, because individual specialists are not expected to achieve equally in all areas. However, performance within the area of Professional Activities and Functions should be weighed most heavily because it directly serves the mission and objectives of FYP.

#### 1. Professional Activities and Functions

In performing their professional activities and functions, faculty specialists fulfill FYP objectives. While they are directly responsible to work with faculty, staff, and students in creating learning communities and freshman seminars, FYP faculty specialists also carefully select and then teach undergraduate peer mentors the skills and techniques as well as the content knowledge necessary to lead credit seminars. The peer mentors become valued, knowledgeable and helpful ambassadors for the University and develop personal skills that increase their leadership skills.

FYP faculty specialists are also involved in constant improvement of the office and its services via coordination with other offices and assessment of its work.

Professional activities and functions include, but are not limited to, the following:

- i. *Direct Service*
  - Design, develop, and teach academic courses for freshmen and peer mentors
  - Create curriculum and learning material for academic courses
  - Develop effective research tools, learning aids, teaching materials, and simulations for teaching/presentation/workshops/research
  - Recruit, train, supervise and assess peer mentors to independently lead credit courses
  - Design, develop, and offer workshops and training seminars
  - Provide feedback/evaluation/assessment of peer mentor performance
  - Participate as a guest presenter in academic classes, faculty/staff orientation, and student orientation
  - Provide individual or group consultation and support on learning communities and freshman seminars to colleges/schools, academic departments, and support units
  - Supervise research and work experiences for students and program staff
  - Serve as advisor to student organizations/groups and/or other groups
- ii. *Program Development*
  - Collaborate with schools, colleges, and academic advising centers to create general and pre-major academic learning communities
  - Work with faculty in developing freshman seminars for first year students
  - Participate in the development and/or revision of program literature
  - Assist in the university recruitment of high school students
  - Develop assessment models for measuring student learning in first year programs
  - Create and update materials, resources, guides, brochures, and websites
  - Assess staff, programs, and FYP itself in an effort to continually improve the services that are offered
- iii. *Administration*
  - Administer, supervise, and/or coordinate FYP efforts and services

- Compile and report assessment data for FYP and the campus community
- Participate in the development, interpretation, revision, and implementation of policies and procedures governing the program
- Engage in program planning, development, and implementation, including securing extramural funding when available and appropriate
- Perform administrative duties (write correspondence, keep accurate records, prepare budgets, etc.) that support the office

2. Scholarly Contributions and Professional Development (20% of time)

As active faculty members of the university community, FYP faculty specialists conduct original research and scholarly activities. Through their research activities, specialists not only keep current with developments in first year experience literature but also foster professional growth and enrich the faculty-student relationship. A specialist's active involvement in professional activities also facilitates collegiate informational exchange on the issues pertaining to the university's mission and the effectiveness of undergraduate curriculum.

The format and venue of scholarly activities takes various forms, such as making scholarly presentations at conferences, publishing research results in journals and/or conference proceedings, reviewing and editing professional publications, and providing professional consultation with colleagues within and across disciplines. While conducting research in the field of a specialist's academic discipline is valuable and thus encouraged, continuous engagement in professional activities in the field of first year experience program implementation is considered to be primary. Because of the diverse and complex nature of these duties, evidence of professional activities should not be solely limited to publications.

Scholarly contributions and professional development includes, but is not limited to, the following activities that relate to first year experience research, assessment, and academic advising:

- Conduct original research individually and/or in collaboration with other colleagues.
- Present or be invited to present scholarly materials on a topic relevant to the first year experience, academic advising or advising-related field or in a specialist's academic discipline at a regional- or national-level professional conference, colloquium, seminar, and/or workshops.
- Make written or editorial contributions to academic journals, monographs, and books.
- Publish the results, data, or other materials that have been collected for the purpose of program assessment and evaluation.
- Provide professional consultation and assist colleagues in developing tools, documents, and/or university guidelines.

- **Develop, plan and implement workshops and seminars that facilitate collegiate informational exchange and/or promote faculty support for undergraduate education and first year programs.**
- **Take courses and earn advanced degrees or certification.**

3. **University and Community Service**

University and community service complements and supports the functions and goals of FYP faculty specialists through the development of leadership, the reinforcement of positive working relationships, and the encouragement of professional development. Service serves as an instrument for improved communication within the departments of UHM and the entire UH System, as well as between UHM and broader communities. It provides a mutually beneficial environment which supports interaction at all levels, promotes cooperation and coordination, and contributes to the recognition of the University by external constituencies. A better understanding of community and student needs developed through service, permits specialists to better engage students with the curriculum and understand how the curriculum may relate to them.

Service includes, but is not limited to, the following activities:

- Serve as an active member or chair of departmental, college, university, or system-wide committees or officer of a professional organization
- Serve on faculty governance bodies
- Act as liaison to other colleges, schools and campuses
- Provide professional service to community agencies or the general public
- Serve as a mentor to a junior specialist faculty outside of FYP or serve as faculty advisor to student organizations

## Addendum B

### SOURCES OF EVALUATION

To judge a candidate's worthiness for tenure, promotion, or contract renewal, the review committee (the FPC, DPC or TPRC, whichever is applicable) evaluates as many as possible of the following kinds of data provided by the candidate. This may include, but is not limited to:

#### Professional Activities and Functions

1. Evaluations from students, both formal and informal, and including standardized evaluations, as well as letters or other written comments.
2. Evaluations by peers and colleagues, both formal and informal, including standardized evaluations, as well as letters or other written comments.
3. A selection of workshop outlines or course syllabi, if applicable.
4. A selection of training materials.
5. A selection of awards and recognition for professional-related activities

#### Scholarly Contributions and Professional Development

1. Evaluations by peers based on their experiences in working with the candidate on research and program activities and through observation of program planning and operation.
2. Written reports and department presentations of goals, efforts, and results of research and program planning and implementation.
3. Research and travel grants.
4. Published and unpublished work related to teaching, advising, program development and evaluation, or an academic discipline, including articles, manuals, handbooks, research reports.
5. Earning of additional credits and advanced degrees at the graduate level.

#### University and Community Service

Statements from committee members and others familiar with the candidate's work on committees, panels, and organizations.