

APPROVED:

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UHPA Date

[Signature] 8/15/2016
Mānoa Chancellor's Office Date

**DEPARTMENT PROCEDURES GOVERNING TENURE AND PROMOTION
AND CONTRACT RENEWAL**
Department of Human Nutrition, Food and Animal Sciences
College of Tropical Agriculture and Human Resources
University of Hawai'i at Mānoa

I. PREAMBLE

The controlling document for the tenure and/or promotion process at the University of Hawai'i is the "Current Agreement between the University of Hawai'i Professional Assembly and the Board of Regents of the University of Hawai'i" (hereafter the "UHPA Agreement"). The UHPA Agreement, as amended or extended, should be consulted for all matters concerning the tenure and/or promotion and contract renewal procedures.

The purpose of this document is to provide guidance regarding Department of Human Nutrition, Food and Animal Sciences (hereafter "HNFAS" or "Department") specific policies, procedures and guidelines on tenure and promotion and contract renewal that are not addressed in either the UHPA Agreement, the University of Hawai'i at Mānoa guidelines, or other Mānoa documents or policy that control the tenure and/or promotion procedures.

II. ORGANIZATION AND PROCEDURE

1. The Departmental Personnel Committee (hereafter "DPC") shall be composed of five (5) tenured faculty members from the department.
2. The DPC will be comprised of at least one member from each of the following categories of faculty: (1) instruction ("I"); (2) researcher ("R"), (3) specialist ("S") or extension agent ("A"). The latter two categories will vary according to the faculty who are to be evaluated during the academic year. The DPC will include one member from either the same geographic (work) location or work category (I, R, S, or A) as the applicant seeking promotion and/or tenure.
3. If the Department is unable to constitute a DPC with five tenured faculty members in the appropriate categories, then the Dean may constitute a Faculty Personnel Committee in consultation with the Department Chair (hereafter "Chair" or "DC"). The Faculty Personnel Committee will consist of available Department faculty plus additional tenured faculty members from related disciplines in accordance with article XII of the UHPA Agreement.

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4. DPC members serve two year terms. Normally two (2) members of the committee will be replaced in odd numbered years and three (3) in even numbered years. In the first year, two (2) of the DPC members will be elected for one-year terms. If a vacancy occurs between elections it shall be filled by the first available alternate consistent with the requirements of paragraph 2 of this section.
5. When a duly elected member of the HNFAS DPC cannot participate either by Polycorn or conference call or in person in all discussions, and either in person or by written proxy in decision-making, that person will be replaced by the first alternate consistent with the requirements of paragraph 2 of this section.
6. All tenured faculty members of the department, except the Department Chair, shall be eligible to hold office as DPC members. Only faculty members of equal or higher rank to which the applicant has applied may vote on applications for promotion. If needed a DPC member of lower rank will be excluded from deliberation and assessment of a promotion application and will be replaced by the first available alternate consistent with the requirements of paragraph 2 of this section. In addition, faculty being considered for promotion and currently serving on the DPC shall be excluded from deliberation and assessment of their application and replaced by the first available alternate consistent with the requirements of paragraph 2 of this section.
7. A candidate for tenure and/or promotion may exclude one department faculty member on the DPC where the candidate believes that a conflict exists that would prevent the faculty member's fair evaluation of a tenure or promotion application made by the candidate. An excluded faculty member will be replaced by the first available elected alternate consistent with the requirements of paragraph 2 of this section.
8. Election to the DPC will be by secret ballot of all eligible members of the departmental faculty. Eligible faculty include tenured faculty, faculty on tenure-track and limited term faculty. Lecturers are not eligible to vote in DPC elections. The election shall be conducted by the DPC, normally in April, to elect the DPC for the following academic year. Each faculty category requiring representation (I, R, S or A, geographic work location) shall be included on the ballot. The faculty member representing each category who receives the greatest number of votes shall be elected. For the remaining members, the faculty member(s) with the next highest number of votes shall also be included as members of the DPC. In case of ties, coin toss will determine the winner. The appropriate eligible faculty members who had the highest number of votes in the last election but failed to be elected shall serve as alternates in the order of the number of votes received, with a coin toss used to determine the winner of any ties.

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9. The DPC elects its committee chair. The DPC Chair is responsible for receiving all documents from the DC and distribution to the DPC. The DPC Chair must ensure that all supplemental materials used in the review process are returned to the Department Office.
10. While the primary role of the DPC is to evaluate the candidate's dossier, the DPC will provide assistance in reviewing the draft and providing feedback to the applicant who submits his/her dossier at least one month prior to the University deadline for submission.

III. APPLICATION AND REVIEW PROCEDURE FOR PROMOTION AND/OR TENURE.

1. Faculty are considered for promotion and tenure according to criteria and minimum qualifications of the UH Mānoa Criteria and Guidelines for Promotion and Tenure (hereafter "UHM Criteria"). Dossiers should be prepared in accordance to the UHM Criteria. The DC shall query eligible faculty, then will provide interested department members (hereafter "applicant") with current application forms and other pertinent instructions and criteria when these are available. It is up to the applicant to ensure that all deadlines are met, including those for petitioning for shortening of the probationary period and/or waiver of minimum qualifications for promotion and/or tenure.
2. Transmittal of pertinent materials by the DC to applicants and all members of the DPC shall occur no later than six weeks prior to the application deadline. This includes a copy of the current Department personnel policies for promotion and tenure, timetables, guidelines and any other material that pertains to promotion or tenure.
3. In August, prior to the deadline for submission of the application, the applicant shall provide to the DC (1) a list of at least 5 external reviewers (names, addresses, phone numbers and e-mail addresses) of equal or higher rank to which the applicant has applied, (2) current curriculum vitae, (3) current instruction course listing and summary of class/peer evaluations, and (4) at least, two examples of representative scholarly work (completed since last promotion or since initial hire, whichever is appropriate).
4. Up to one month before the deadline set by UH Mānoa for submission of dossiers, the applicant may request a consultation with the Chair for preparation of his or her application for tenure and/or promotion (hereafter "dossier"), but is not required to do so. The Chair will make every reasonable effort to provide such consultation if requested.

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5. Dossiers should be prepared in accordance with UHM Criteria and, if applicable, College and Departmental Guidelines. It is strongly recommended that applicants and potential applicants attend the UH workshops on preparing promotion and tenure dossiers. Applicants for promotion and/or tenure should provide, as part of their application, documentation describing appropriate authorship conventions for their discipline, including the significance of authorship order, to aid in the review process. Both 1) the proportion of time among 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.
6. When the DPC has questions concerning items in the dossier, it may request clarifying information or a meeting with the applicant to resolve these issues. Applicant response to such request is voluntary.
7. Dossiers shall be considered privileged and confidential information. Dossiers moved off the Mānoa campus must be in a sealed envelope and either (1) hand-carried by a person who signs out for the document and obtains the signature of the addressee upon delivery, or (2) sent by courier certified return receipt, or (3) picked up in person by the addressee. The DPC and the DC may seek additional clarifying information from the applicant to assist in the evaluation of the applicant, and any such information shall also be considered privileged and confidential. Anonymous materials shall not be included in any dossier.
8. The applicants will be evaluated in the area of Research (R), Teaching (I), and Extension (S or A), in direct proportion to the percentage of the applicant's full time equivalency (FTE). Criteria for evaluation shall be as provided in the UHM Criteria and Department and/or College criteria, if any.
9. The DPC is responsible for summarizing the applicant's strengths and weaknesses in areas of teaching, research, extension and service, and, if so desired, making its recommendation. A majority vote by secret ballot of all members of the committee shall prevail, but minority assessments can be included in the DPC's report. Only tenured members of BU 07 may vote on applications for tenure or contract renewal of another faculty member. Only faculty members of equal or higher rank to which the applicant has applied may vote on applications for promotion. The DC shall not participate by voice, vote, presence, or in any other form of communication in the deliberations of the DPC over individual tenure and promotion applications.
10. The DPC shall submit the dossier and assessment and recommendations for tenure and/or promotion to the DC, who shall, after review and consideration of the dossier, make his/her assessment and recommendation to be sent with the dossier to the Dean.

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11. The Chair shall review the dossier separately and independently from the DPC's review, and assess the applicant's strengths and weaknesses. The Chair shall consider all the evidence and make an assessment and recommendation.
12. The DPC Chair and DC shall show their recommendations and reasons for their recommendations to the applicant before the information is forwarded to the Dean.
13. At any time during the review process by the DC and the DPC, the applicant may update the dossier's content including, but not limited to, updating information regarding the acceptance of publications, the printing of publications, recent awards, grants received that are listed as submitted in the dossier, etc. No new materials may be added to the dossier except by way of updating information already in the dossier.

Note: This section refers to only the time that the dossier is under the control and domain of the Department (Chair or Personnel Committee). Once the dossier leaves the Department, the policy of the University of Hawai'i governing modifications shall prevail.

IV. GENERAL (FOR PROMOTION AND/OR TENURE)

1. Deadlines for submittal of the dossier and supporting materials shall be strictly adhered to. Applicants should prepare their dossiers and contact references in time to forward a complete dossier to the Chair to begin the review process by the University of Hawai'i at Mānoa stated deadlines (usually early-October). It is the responsibility of the applicant to see that supporting letters are received before stated deadlines, if possible.
2. It is the obligation of the applicant to follow the directions provided by the University for preparing and submitting the application for tenure and/or promotion.
3. External evaluations are required for tenure and promotion, and will generally follow the procedure outlined in the UHM Criteria. The method for establishing a pool of external reviewers is as follows: The applicant will provide at least five names (with addresses, phone numbers and e-mail addresses) of potential reviewers not within the UH System, preferably from R1 institutions. The evaluators should be professionally capable to assess the applicant's work objectively, comment on its significance in the discipline, and hold at least the rank to which the applicant is applying or a higher one. Evaluators who are not affiliated with a university should only be selected when they can provide a perspective to the candidate's work (these types of evaluations may be particularly relevant in faculty positions that work

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broadly with the public, for example extension agents). Letters should not be solicited from individuals who have a relationship with the applicant that would reduce objectivity. Careful consideration should be given to avoid conflicts of interest when choosing external evaluators. The DC in conjunction with the DPC Chair shall add at least five additional names of individuals who can evaluate this applicant's work, for a total of at least 10 potential evaluators. Of the pool of potential evaluators, at least 5 evaluators from each list will be contacted and every effort will be made to ensure that a comparable number of external evaluations originating from the applicant's and Department's lists are received. Evaluators should be solicited two months prior to the deadline for dossier submission. All, and only, materials provided to the DC by the applicant shall be sent to external reviewers. The DC shall also provide to the external evaluators the following information: 1) The UH minimum qualifications for promotion to the rank that the applicant is seeking; 2) Reference to current UHM guidelines for tenure on the web; and 3) any Departmental and/or College procedures and/or criteria that exist and pertain to the rank that the applicant is seeking.

4. All efforts should be made to submit materials by the deadline; however, external letters and supporting materials received after the DPC and DC assessments have been forwarded to the Dean's office shall be forwarded and labeled as "Received but not included in evaluation".
5. Additional supporting materials, not included in the dossier, shall be kept in the Department office in a confidential electronic or physical file. These materials will be forwarded to subsequent levels of review only if requested by that level. Materials will be returned to the applicant after a decision for tenure and/or promotion is made.
6. Amendments to the Departmental Personnel Committee procedures may be recommended from time to time at the discretion of the Department. Proposed amendments must receive a positive vote from at least 50% of the eligible faculty (tenured, tenure-track and limited-term faculty) in the Department. Proposed amendments shall be sent through the Dean to the Vice Chancellor for Academic Affairs and to UHPA for review and approval, which shall not be unreasonably withheld. Approved amended procedures shall be filed with UHPA and the Dean.

V. CONTRACT RENEWAL PROCEDURES FOR PROBATIONARY FACULTY AND FACULTY ON LIMITED-TERM APPOINTMENTS

1. Probationary faculty includes all eligible faculty in permanent tenure-track positions during the probationary period. Faculty on limited-term appointments, whether paid from General funds or not, are appointed to positions for a specific time period (typically not to exceed one year).

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2. Performance evaluations of probationary faculty are to be conducted during the probationary period in accordance with Article XII of the UHPA agreement. Although multiple year contracts might be awarded the Department recommends annual reviews throughout the probationary period so that the DPC and DC can provide appropriate feedback to candidates.
3. Performance evaluations for faculty members on limited-term appointments are to be conducted prior to recommendation for re-appointment based upon the schedule provided by UH Mānoa.
4. Probationary faculty in tenure-track positions applying for contract renewal and faculty on limited-term appointments seeking re-appointment must provide a narrative illustrating professional and scholarly work. In addition, faculty with any instructional assignments must provide a summary of teaching evaluations of courses taught in the past academic year or since previous contract renewal. Original course evaluations should be included with supplemental materials. Probationary faculty on tenure-track or faculty on limited-term appointment will be evaluated in the area of Research (R), Teaching (I), and Extension (S or A), in direct proportion to the percentage of the applicant's full time equivalency (FTE).
5. Applicants will submit to the department office a maximum of 10 pages of narrative illustrating professional and scholarly work, plus a bibliography, one month prior to the CTAHR Dean's deadline for contract renewal of probationary faculty or reappointment of limited-term faculty. In addition, examples of materials exemplifying professional and/or scholarly achievements and course evaluations should be included.
6. The DPC shall evaluate the probationary faculty and/or faculty on limited-term appointment.
7. The DPC shall assess each faculty member's performance for strengths and weaknesses in accordance with Article XII of the current UHPA Agreement. A recommendation for renewal requires that the faculty member's performance has been assessed and has been rated as satisfactory, that there is a continuing need for the faculty member's services at the University, and that the faculty member has made the professional improvement or has demonstrated the professional and personal qualities needed by the department. A positive assessment does not necessarily assure renewal of appointment.
8. The DPC will vote by secret ballot regarding the faculty member's overall performance as satisfactory or unsatisfactory, and its recommendation regarding contract renewal. A brief narrative of the faculty member, strengths and weaknesses in teaching, research, extension and service in proportion to the faculty member's full time equivalency (FTE) shall be appended to the assessment form. If the evaluation identifies concerns, it is suggested that

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specific comments be included to help this faculty member improve in the areas of weakness (es). The DPC should comment on the future need for the position in accordance with the UHPA Agreement Memorandum of Understanding regarding "Future Need". The DPC assessment and recommendation shall be transmitted to the DC.

9. The Chair shall prepare a written assessment of the faculty member's strengths and weaknesses in teaching, research, extension and service in proportion to the faculty member's full time equivalency (FTE) and provide a recommendation regarding contract renewal. The DC should comment on the future need for the position.
10. A positive assessment does not necessarily assure contract renewal. The Chair shall show the assessments and recommendation made by the DPC and DC to the applicant before these are forwarded to the Dean. The faculty member will acknowledge reviewing all pages of the evaluation and the attached narrative assessments done by the DPC and Chair by signing the evaluation document.

VI. AUTHORSHIP CONVENTION

The Department recognizes that there are diverse scientific disciplines among the faculty within the Department. The Department also recognizes that collaborative research and joint and shared publications are the norm within these disciplines. Leadership of the research effort is typically, but not always, attributed to the corresponding author. Authorship order may vary among publications based upon the journal and/or the discretion or the philosophy of faculty member. Therefore, the Department recommends that the applicant describe in his/her narrative, and at the beginning of the bibliography, the authorship convention used in his or her research program.

VII. SELECTION OF DEPARTMENT CHAIR

The Department shall vote by secret ballot to recommend one candidate for Department Chair to the Dean. The election shall be based on a majority vote of all faculty (BU07) members in the Department. The DPC conducts the vote, with alternates replacing any candidates on the DPC.

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