



UNIVERSITY
of HAWAII®
MĀNOA

Office of the Vice Chancellor for Academic Affairs

June 23, 2017

James D. Kardash, PhD
Associate Executive Director
University of Hawai'i Professional Assembly
1017 Palm Drive
Honolulu, HI 96814

SUBJECT: Department Personnel Committee Policies and Procedures

Dear Dr. Kardash:

Enclosed for your files, is the approved, signed copy of the Department Personnel Committee Policies and Procedures for the Department of Botany, College of Natural Sciences.

Please feel free to contact me if you have any questions or comments.

Sincerely,

A handwritten signature in blue ink, appearing to read 'B. McCreary', written over the typed name.

Beverly A. McCreary
Assistant Vice Chancellor
for Academic Personnel

Enclosure

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APPROVED:

James D Kardach 6/6/2017
UHPA Date

APPROVED:

M. D. Brown 6/20/17
Mānoa Chancellor's Office Date

**DEPARTMENTAL PERSONNEL COMMITTEE (DPC)
PROCEDURES FOR THE DEPARTMENT OF BOTANY,
UNIVERSITY OF HAWAI'I AT MĀNOA**

Approved by vote of the Botany faculty on 04 October 2016.

**I. THE BOTANY DEPARTMENT PERSONNEL
COMMITTEE (DPC) AND FACULTY PERSONNEL
COMMITTEE (FPC)**

A. The Botany Department Personnel Committee (DPC) shall be constituted for each personnel action. For matters of promotion, the DPC shall consist of all tenured faculty holding the rank to which the person proposed will be promoted and all individuals of higher rank. Excluded from the DPC are 1) those faculty who are candidates for promotion and/or tenure during the current year, 2) the Department Chair, and 3) Emeritus, Adjunct or other persons who do not hold an active tenured position or are not members of Bargaining Unit 07. Those tenured faculty who are on leave for the fall semester may choose whether to participate in the DPC; participating on-leave faculty will need to make arrangements with the DPC chair to access relevant materials and to participate in DPC discussions.

B. The DPC Chair shall be selected by the committee. Any member of the DPC may be the DPC Chair.

C. Following the guidelines stipulated in Article X of the UHPA-BOR contract (currently 2015-2017 agreement), if a department or program has fewer than five eligible tenured faculty members who are available to serve on the DPC, then the Dean may constitute a Faculty Personnel Committee (FPC) in consultation with the Department Chair. The 5-person FPC will consist of all Botany faculty eligible for the DPC, supplemented by tenured Natural Science faculty. If an FPC is needed, the candidate for tenure or promotion may submit a list of up to three names of non-Botany faculty to be excluded from the FPC.

D. The FPC substitutes for the DPC but in all matters acts according to the rules of the DPC with the exception that the Chair of FPC must be a member of the Botany Department faculty.

E. The DPC/FPC Chair responsibilities include distribution and retrieval of the candidate's dossier, recording the final DPC/FPC vote and submission of the final DPC/FPC written recommendation. The DPC/FPC Chair can assign duties and responsibilities to DPC/ FPC members.

F. In accordance with Article X(B) of the 2015-2017 UHPA-BOR contract, the Department Chair will not participate in any way in the deliberations of the DPC/FPC over individual tenure and promotion applications.

G. The final vote for approval or denial of promotion, tenure or contract renewal will be by secret and anonymous ballot. Informal or straw votes taken prior to the final vote may be done in whatever manner appears appropriate to the DPC/FPC.

II. PROCEDURES FOR TENURE AND PROMOTION

A. The candidate for tenure and promotion is expected to present a research seminar open to Botany faculty and students prior to October 31 during the semester of application. Alternatively, the seminar may be presented in the Spring semester prior to the semester of application.

B. Candidates will be provided a list of the members of the DPC/FPC by the Chair of the Botany Department.

C. The candidate will prepare a dossier in accordance with the instructions given in the "Criteria and Guidelines for Faculty Tenure / Promotion Application" posted on the OVCAA website and the following guidelines. The DPC/FPC may collect and consider whatever materials it deems necessary for adequate review, including solicited letters from any source.

Expanding on the general University instructions given in "Criteria and Guidelines for Faculty Tenure / Promotion Application", the Department requests that the following components be included in the dossier:

1. A detailed CV showing:

- Brief biographical data
- Complete data on education and training
- Academic appointments showing all changes in rank and tenure status at UH or previous institutions
- Other professional positions
- Publication list ("bibliography")
- List of professional activities, including dates (invited papers, lectures, symposia, organizations, chairing of meetings, consultantships, (funded) research working groups, advisory appointments, etc.)

2. Copies of publications or electronic links to publications, including those in press and in preparation. Candidate should include all publications that reflect work as a UH faculty member.
3. Summary of research activities including grant applications, grants received, etc. Candidate should include pertinent information on grants, including sponsor, funding levels, and his/her role (PI, co-PI, etc.).
4. Summary of courses taught at UH Mānoa, including dates. Candidates should clearly indicate the courses taught since the beginning of the faculty appointment (for tenure and/or promotion to Associate Professor) or since last promotion (for promotion to Professor).
5. Student evaluations and other types of evidence that accurately reflect or characterize teaching by the candidate.
6. Titles and dates of theses or research projects by undergraduate, graduate and postdoctoral students who have worked under the candidate's direction at UH Mānoa. Information on graduate student and postdoctoral students' accomplishments.
7. A summary of service activities related to the profession or university; this includes reviewing for journals or funding organizations.

Authorship and scholarship conventions: Co-authorship and multi-authorship are common in botany due to the collaborative nature of research. Because order of authorship does not follow a consistent convention in the field of Botany, candidates should specify their roles in co-authored and multi-authored publications.

The most common form of scholarship in botany is peer-reviewed manuscripts published in journals. Other common forms of scholarship include peer-reviewed book chapters or contributions to proceedings, authored books, edited books or proceedings, and scholarly electronic resources (including databases, taxonomic keys, etc). Candidates are encouraged to present evidence of the importance or uses of their works: examples include but are not limited to: number of times cited, number of times downloaded, number of copies sold, news coverage, and resulting awards.

The Botany Department procedures for promotion and tenure for each rank place weight on objective peer review by acknowledged authorities in the candidate's field(s) of endeavor.

D. The candidate will provide the Botany Department Chair with a list of at least five external peer reviewers and a summary of the qualifications and accomplishments of the reviewers. Applicants should not contact possible external reviewers. The list of reviewers should not include individuals having a personal or professional relationship with the applicant that would reduce objectivity (i.e. the candidate's graduate school or postdoctoral advisor(s), present or former students, or relatives). In most cases, collaborators and co-authors should also be excluded; an exception may be considered if a proposed reviewer has played only a minor and non-continuing role in the candidate's scholarship.

E. Letters of recommendation/review will be solicited by the Botany Department Chair, in consultation with the DPC Chair. Materials to be forwarded to external reviewers by the Chair are outlined in the criteria guidelines document posted on the OVCAA website. These materials should provide enough information to write an informed opinion of the candidate's research program and overall research productivity. The candidate shall select materials to be sent to the outside reviewers. Useful materials may include a curriculum vitae, a short statement of research and teaching accomplishments, and reprints and preprints of publications.

F. The Department Chair, in consultation with the DPC Chair, will also seek to obtain an equal number of reviews from individuals not named by the candidate but who are qualified to provide professional assessment of the candidate. A candidate for tenure or promotion may provide a list of up to three people who should not be asked to serve as reviewers.

G. All solicited letters from external reviewers will be regarded as confidential and will be seen only by the DPC/FPC and the Department Chair, and passed to the Dean of the College of Natural Sciences according to the procedures specified by the University. In keeping with the information conveyed to external reviewers when soliciting their evaluation, the Botany Department will not provide copies of the letters to the candidate without first receiving permission from the letter-writer.

H. Each DPC/FPC member will evaluate the candidate's dossier using the criteria outlined in the guidelines document posted on the OVCAA website and the criteria of the department; an anonymous vote will be recorded and included with a summary statement prepared by the DPC/FPC Chair. In the event of a strongly held minority opinion, the dissenting minority may request that the dissenting opinion be summarized within the DPC Chair's summary. The DPC Chair's summary, plus letters of evaluation will be attached to the dossier.

I. The candidate's dossier will be transmitted by the Chair of the DPC/FPC to the Botany Department Chair for a separate written assessment detailing the strengths and weaknesses of the applicant(s) and of her/his potential for the future. This will be no later than the 30th of November, or such date as may be

specified in the year of review, so that the Botany Department Chair may have sufficient time to prepare a thoughtful response, and to transmit this with the other documents to the Dean of the College of Natural Sciences in accordance with the University-specified timetable.

J. Upon request, a candidate may receive and respond to a copy of the initial recommendations of the DPC/FPC and those of the Department Chair before they are forwarded the Dean of the College of Natural Sciences. The candidate may choose to discuss these recommendations with either the DPC/FPC Chair or the Botany Department Chair or both. Outside letters of evaluation are held as confidential and will not be included with materials for the candidate's review.

K. A candidate may offer a rebuttal in writing to the DPC/FPC and/or the Botany Department Chair's statements within 5 days after reading their respective recommendations.

L. The DPC/FPC and/or the Botany Department Chair may act on a rebuttal either making revisions as deemed appropriate, or not, at their discretion. The candidate will be shown the final version(s) of the recommendations of the DPC/FPC and Botany Department Chair.

M. When the process has been completed the Botany Department Chair will forward the candidate's dossier including any rebuttals or revisions together with letters of evaluation, and supporting materials and documents to the Dean of the College of Natural Sciences.

N. Amendments of changes to these procedures can be made at any time with majority approval of the faculty following the procedures outline in Article X of the UHPA-BOR Contract.

III. PROCEDURES FOR CONTRACT RENEWAL

A. Article X of the UHPA-BOR Contract, along with specific provisions in Article XII, provides general procedures for Contract Renewals during the probationary period leading up to tenure, and for those on non-tenure track, limited-term general fund appointments. A time schedule for notification, either for continued appointment and new contract issue, or for termination is outlined in the UHPA-BOR Contract. Specific dates for submittal (precise month and day) are provided by the Office of the Vice Chancellor for Academic Affairs, UH Mānoa. These guidelines and dates will form the basis of Botany Department procedures.

B. The DPC/FPC will be constituted as described in Section I, parts A-G.

C. The UH Mānoa form entitled "Annual Evaluation / Contract Renewal Recommendation" which includes general instructions for assessments by the DPC and Department Chairs will be used for evaluations. Other items to be requested from the faculty member being evaluated include a current curriculum vita, a 1-3 page statement

addressing their endeavors in teaching, research and service, summarized teaching evaluations and up to five representative publications since their hire at UH Mānoa. Such items as letters from External Reviewers are not required for this kind of assessment.

D. The Botany Department Chair will transmit a copy of the DPC and Botany Department Chair assessments to the faculty member being evaluated before they are forwarded to the Dean. The UH Mānoa form includes a place for the signature of the faculty member acknowledging receipt of the assessment and will be taken as confirmation that the member is aware of the nature and content of the assessment.

E. Amendments of changes to these procedures can be made with majority approval of the faculty following the procedures outline in Article X of the UHPA-BOR Contract.

IV. PROCEDURES FOR SELECTION OF DEPARTMENT CHAIR

As per Article X of the UHPA-BOR Contract, the determination of the Department of Botany's recommendation for Department Chair to the Dean of the College of Natural Sciences shall be based on a majority vote of all bargaining unit faculty members in the Department.