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**PROCEDURES AND CRITERIA FOR TENURE, PROMOTION, CONTRACT RENEWAL,
AND PERIODIC REVIEW OF SPECIALIST FACULTY
COLLEGE OF NATURAL SCIENCES, OFFICE OF THE DEAN
UNIVERSITY OF HAWAI'I AT MĀNOA
APPROVED:**

The Office of the Dean, College of Natural Sciences (CNS), at the University of Hawai'i at Mānoa hereby establishes the following procedures and criteria for tenure, promotion, contract renewal, and periodic review of its Specialist faculty. The procedures and criteria refer to parts of five documents:

- *2022-2023 Procedures for Evaluation of Faculty at UH Mānoa*
- *2022-2023 Criteria and Guidelines for Faculty Tenure/Promotion Application*
- *Appendix A - Executive Policy - Classification of Faculty - E5.221*
- *Appendix B: Supplemental Guidelines for Librarian, Specialist or Extension Agent Faculty*
- *Addendum A: Responsibilities and Criteria for Review of Specialist Faculty, College of Natural Sciences, Office of the Dean*

Following the guidelines stipulated in Article XII of the UHPA-BOR contract (currently 2021-2025 agreement), if a department or program has fewer than five eligible tenured faculty members who are available to serve on the DPC, the Dean will constitute a Faculty Personnel Committee (FPC). The FPC substitutes for the DPC in all matters and acts according to the rules of the DPC, with the exception that the Chair of the FPC must be a member of the CNS faculty.

The candidate for tenure or promotion may submit to the DPC/FPC Chair the name of one faculty member to be excluded from the DPC/FPC due to conflicts of interest the candidate may perceive that would prevent the applying faculty member's application for tenure or promotion being fairly evaluated. All DPC/FPC members are expected to participate fully in evaluation and all discussions; those tenured faculty who are on leave and unable to commit to these duties will be excused. The constitution of the DPC/FPC will be provided to the candidate after assembly of the committee. The DPC/FPC Chair shall be a member of the CNS faculty and selected by vote of the committee.

The University recognizes that activities of Specialist faculty are not consistent across settings due to the complexity, the number, and the variety of locations and assignments (*Appendix B: Supplemental Guidelines for Librarian, Specialist or Extension Agent Faculty*). As such, individuals charged with evaluating Specialist faculty based in the CNS Dean's Office must recognize that the duties and responsibilities of these faculty vary for each individual and will not be identical for each member. Furthermore, each person should be evaluated according to his/her overall performance, since individual Specialist faculty are not expected to achieve equally in all areas. Activities pursued may not fall into a single distinct category and often bridge between one or more of the areas.

Reviewers should refer to *Addendum A: Responsibilities and Criteria for Review of Specialist Faculty, College of Natural Sciences, Office of the Dean*, as well as the university-wide document *Appendix B: Supplemental Guidelines for Librarian, Specialist or Extension Agent Faculty*.

I. TENURE AND/OR PROMOTION

The candidate will prepare a dossier in accordance with the instructions in the “Criteria and Guidelines for Faculty Tenure/Promotion Application” posted on the OVPAE website and the following guidelines, and will submit the dossiers to the DPC/FPC Chair. The DPC/FPC will be provided with the dossier as soon as possible after submission by the candidate.

Letters of recommendation/review will be solicited by the DPC/FPC Chair. The candidate must provide the DPC/FPC Chair with the names and contact information for three to five external peer reviewers and a summary of the qualifications and accomplishments of each reviewer. Applicants should not contact any of these potential external reviewers or cause them to be made aware of or be briefed by another individual or authority about the applicant’s application. The list of reviewers should not include individuals who have a personal or professional relationship with the applicant that could reasonably be perceived to reduce their 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 from the previous three years 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. In communicating with the external reviewers, the DPC/FPC Chair should also provide an indication of the workload distribution of the candidate to allow evaluation of the candidate’s accomplishments in that context.

The DPC/FPC Chair will also seek to obtain an equal number of reviews from individuals not named by the candidate but who are qualified to provide a professional assessment of the candidate’s performance. A candidate for tenure or promotion, or for tenure and promotion may provide the name of one individual who should not be asked to serve as a reviewer. The same information provided by the applicant for the external reviewers (defined above) shall be provided to the reviewers not named by the applicant. All solicited letters from external reviewers will be regarded as confidential to the extent possible and will be seen only by the DPC/FPC, and passed to the Dean of the College of Natural Sciences, and other individuals responsible for reviewing tenure and/or promotion applications according to the procedures specified by the University.

Each DPC/FPC member will evaluate the candidate's dossier using the criteria outlined in the guidelines document posted on the OVPAE website and the CNS criteria (*Addendum A: Responsibilities and Criteria for Review of Specialist Faculty, College of Natural Sciences, Office of the Dean*). DPC/FPC members may also reference the candidate’s letter of hire and any subsequent written changes to the candidates assignment and responsibilities. The DPC/FPC Chair will call a meeting of the DPC/FPC to discuss the candidate’s dossier. A vote by secret ballot to recommend the applicant for the requested personnel action (tenure, promotion, tenure and promotion) will be held and the results will be recorded and included with the DPC/FPC evaluation. In the event of a strongly held minority opinion, the dissenting minority may request that their opinion be summarized within the DPC/FPC evaluation. The DPC/FPC summary, plus letters of evaluation from external reviewers, will be transmitted with the dossier for consideration at other levels of review (Dean, TPRC, Provost, President).

Candidates will receive and have the opportunity to respond to a copy of the initial recommendations of the DPC/FPC before they are forwarded the Dean. The DPC/FPC Chair will maintain the confidentiality of individual committee member's review. Outside letters of evaluation are held as confidential and will not be included with materials for the candidate's review. A candidate may offer a rebuttal in writing to the DPC/FPC's statements no later than one week prior to the DPC/FPC deadline to transmit their recommendation to the CNS Dean. This rebuttal must be submitted via the edossier system if application was filed electronically, or by email to the DPC/FPC Chair if a hard copy application was submitted. The DPC/FPC may act on the rebuttal by either making revisions as deemed appropriate, or not, at their discretion. The candidate will be shown the final version of the recommendation of the DPC/FPC. No further rounds of rebuttal are permitted.

When the process described above has been completed, the DPC/FPC Chair will forward the candidate's dossier, including any rebuttals or revisions, letters of evaluation, supporting materials, and any other related or allowable documents to the CNS Dean by the deadline specified in the university's timetable.

II. CONTRACT RENEWAL

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 notifying faculty to be reviewed and dates for submission of assessments to the Dean are provided by the OVPAE, and dates for submission of materials for review by the faculty member are set by the College. These guidelines and dates will form the basis of these procedures.

The DPC/FPC will be constituted as described earlier in this document. The UH Mānoa form entitled, "Annual Evaluation/Contract Renewal Recommendation", which includes general instructions for assessments, will be used for evaluations. Items to be requested from the faculty member being evaluated include:

- Current curriculum vitae
- 1-3 page statement addressing their endeavors in the categories below:
 - Professional Activities (e.g., Administration, Program Development, Indirect/Direct Client Service)
 - Scholarly and Professional Development Activities (e.g., Research/Evaluation, Professional Development)
 - Service Activities (University, Professional, Community)
- Any representative scholarly works the candidate would like to include that were generated since their hire at UH Mānoa.

Items such as letters from External Reviewers are not required for this assessment. Reviewers shall refer to *Addendum A: Responsibilities and Criteria for Review of Specialist Faculty, College of Natural Sciences, Office of the Dean* for activities in each of the three areas.

The above documents will be submitted to the DPC/FPC Chair. The DPC/FPC assessments will be transmitted to the faculty member being evaluated by the DPC/FPC Chair before they are forwarded to the Dean. The faculty member will acknowledge the assessment either electronically through the eDossier system (if being used for the assessment), or by hardcopy signature on the UH Mānoa form. This signature (digital or hardcopy) acknowledges receipt of a copy of the assessment and will be taken as confirmation that the member is aware of the nature and content of the assessment.

III. PERIODIC REVIEW

Board of Regents Policy on Personnel, RP 9.213 establishes guidelines for the periodic evaluation of faculty. All faculty will be evaluated at least once every five years. Specifically exempted from this type of evaluation are faculty who have undergone review for reappointment, tenure, or promotion, or who have received a merit salary increment during the previous five-year period. Faculty members who are on sabbatical or leave without pay, or who submit forms to retire by June 30 of the year s/he is eligible for review will also be exempt from the review process.

The *2022-2023 Procedures for Evaluation of Faculty at UH Mānoa (revised 2022)* outline a process for non-standard departments and/or small units without a Department Chair or standing DPCs. The review will be conducted by a tenured faculty member of equal or higher rank. The reviewer will have duties and responsibilities that are comparable to that of the faculty member undergoing review. The evaluation will be carried out using the procedures below.

Upon notification by the Provost's Office, the Dean's Office will provide formal notification to Specialist faculty identified for periodic review by the established deadline. Exemptions from review may be made at that time in accordance with Mānoa procedures.

The Specialist faculty member will have the opportunity to provide the Dean with the name of one individual with whom he/she believes a conflict exists or that would prevent a fair periodic review. The Dean will select the reviewer. The Dean will then forward this name to UHPA, and the CNS Dean and UHPA will jointly discuss and then designate the faculty member to conduct the review.

Specialist faculty members identified for periodic review will submit an up-to-date curriculum vitae and a brief (1-3 page) academic profile describing their professional activities in the following three areas:

- Professional Activities (e.g., Administration, Program Development, Indirect/Direct Client Service)
- Scholarly and Professional Development Activities (e.g., Research/Evaluation, Professional Development)
- Service Activities (University, Professional, Community)

Reviewers shall refer to *Addendum A: Responsibilities and Criteria for Review of Specialist Faculty, College of Natural Sciences, Office of the Dean* for activities in each of the three areas.

The reviewer will review the materials submitted by the Specialist faculty member and prepare a written report. The report should state whether the Specialist faculty member's activities meet expectations at the rank held, and if not, what deficiencies exist.

If the reviewer identifies that the Specialist faculty member's activities meet expectations, but considers that there are opportunities for development, or areas of concern that are not deficiencies, the reviewer need not include these items in the report, but will discuss them with the Specialist faculty member and identify ways to address them. The reviewer will provide the Specialist faculty member a copy and meet with them to discuss any discrepancies in the report, prior to submission to the Dean.

If the reviewer does not identify deficiencies, the review process is concluded.

If the reviewer finds that the Specialist faculty member's activities do not meet expectations, the process will abide by the policies and procedures outlined in the *2022-2023 Procedures for Evaluation of Faculty at UH Mānoa*.

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 duties and responsibilities appropriate to their rank as outlined in *Addendum A: Responsibilities and Criteria for Review of Specialist Faculty, College of Natural Sciences, Office of the Dean*.

IV. AMENDMENTS

Amendments to the *Procedures and Criteria for Tenure, Promotion, Contract Renewal, and Periodic Review of Specialist Faculty, College of Natural Sciences, Office of the Dean* may be recommended from time to time. The proposed amendment shall be sent through the Dean to the Provost for UHM and the University of Hawai'i Professional Assembly for review and approval.