

APPROVED:

James D. Kondash 9/17/14  
UHPA Date

APPROVED:

[Signature] 9/21/14  
Manoa Chancellor's Office Date

INSTITUTE FOR TEACHER EDUCATION  
College of Education  
University of Hawaii

## PERSONNEL POLICIES AND PROCEDURES FOR CONTRACT RENEWAL, TENURE, AND PROMOTION

### Section I: Department Personnel Procedures

The procedures and policies set forth in this document are designed to ensure that all faculty members are treated fairly in matters dealing with contract renewal, tenure, and promotion. It is understood that all policies and procedures must be in compliance with the University tenure and promotion policy and consistent with policies of the University of Hawaii Professional Assembly.

The current requirements for departmental procedures are that they shall, at a minimum:

1. Provide for secret ballot voting at all final votes;
2. Provide for strict exclusion from voting of any individual who is not a tenured bargaining unit 07 member over tenure or contract renewal of another faculty member;
3. Allow only faculty of equal or higher rank from which the applicant is being promoted to vote on applications for promotions; and
4. Identify procedures for orderly review of dossiers at the department level. All members of the department are to maintain confidentiality in all Department Personnel Committee (DPC) proceedings.

#### A. Guidelines for the Operations of the DPC

The Department's Program Chair of the respective faculty member is responsible for attending to procedures for that faculty member.

1. Eligibility
  - a. All tenured faculty are eligible for membership on the DPC. Tenured faculty members under consideration of promotion may not serve on the Committee.

- b. The Department/Program Chairs (D/PC) are not eligible for membership on the DPC.<sup>1</sup>
2. Composition of the DPC
    - a. The DPC will be composed of five tenured faculty—three to be at the rank of full professor or full specialist and two at the rank of associate professor or associate specialist. A D/PC will oversee a vote of the tenured and tenure-track faculty to elect four tenured faculty to serve on the DPC. The fifth member of the committee should be from a department other than the Institute for Teacher Education (ITE). The fifth member is selected by the DPC after consultation of the D/PC and ITE members.
    - b. When four tenured ITE faculty members are not available to serve on the DPC, participation will be solicited from the tenured faculty members of the other COE departments outside of the Institute for Teacher Education.
    - c. The four DPC members from ITE will be elected at the end of each spring semester for service the following academic year. The D/PC will convene the DPC prior to the end of spring semester for the sole reason of conducting an election of the DPC Chair. The D/PC and one other faculty member will count the ballots and announce the DPC chair.
    - d. The D/PC will convene the DPC for the first meeting during the first week after their official term begins on August 15.
  3. Term of Office
    - a. Four tenured faculty members of the ITE will be elected or re-elected to the DPC each year for a term of one year.
    - b. Service on the DPC is a faculty obligation. Faculty members may, under some circumstances, seek permission from their D/PC to have their names removed from the list of those eligible for election. Such permission should be sought in writing.
  4. Replacement of DPC Members
    - a. When a member of the Committee must be replaced before the end of that member's term, replacement will be accomplished by special election conducted by the DPC Chair.
    - b. The replacement will be a faculty member at the same rank and tenure status as the outgoing member. The replacement will complete the outgoing member's remaining term of office.
  5. General Obligations of the Departmental Personnel Committee

---

<sup>1</sup> There are three chairs in ITE: one each for the MEdT, Elementary, and Secondary programs.

The DPC will provide a written evaluation of each applicant. Recommendations for the personnel action will be based upon the Criteria outlined in Section II of this document.

6. Responsibilities of the D/PC and DPC Members Regarding Personnel Actions

- a. The D/PC is responsible for meeting with new faculty members concerning the DPC Policy document and the expectations of the department for promotion and tenure. The D/PC shall provide all relevant documents as listed in 6c below. The D/PC is also responsible for informing new faculty of mentoring resources such as the New Faculty Orientation, the Office of the Vice Chancellor for Academic Affairs informational workshops, and initiatives at the Center for Teaching Excellence.
- b. At the start of the academic year, the COE Dean will provide the following timetable and deadline documents to the D/PC: “Tenure and Promotion Procedures and Timetable” and “Deadlines for Personnel Actions and Contract Renewal.” Within the timelines set by documents from the Dean, the D/PC and DPC Chair will develop an “ITE Intradepartmental Timetable.” A copy of the intradepartmental timetable shall be given to each applicant and DPC member within one week from the time the documents are received from the College Dean.
- c. The D/PC will provide these documents to applicants for contract renewal, tenure and promotion:
  - (1) UH Manoa Criteria and Guidelines for Faculty Tenure and Promotion Application;
  - (2) ITE Department Personnel Policies and Procedures for Contract Renewal, Tenure, & Promotion;
  - (3) UHPA/UH Agreement (Article XII Section B “Tenure and Service” and Article XIV Promotion);
  - (4) Suggested Dossier Outline for Tenure and Promotion (“I” Faculty and “S” Faculty).
- d. Deliberations and actions of the DPC relating to specific faculty personnel actions shall be confidential. The D/PC and committee members are under an obligation to preserve this confidentiality.
- e. DPC members are expected to be thoroughly familiar with department and University policies and procedures relating to contract renewal, tenure, and promotion.
- f. The DPC Chair or DPC’s designee will act as the principal source of communication between the applicant and DPC until the DPC completes its written recommendation.

- g. The role of the DPC is to evaluate an applicant and not to mentor the applicant through the process.
  - h. At the conclusion of the DPC deliberations, the DPC Chair is to provide each applicant with a copy of the written evaluation and recommendation of the DPC, including the outcome of the DPC vote. The applicant will be given an acknowledgement to sign stating that these steps have been taken.
  - i. Each applicant will meet with the D/PC to discuss the Chair's independent assessment and recommendation, and will sign an acknowledgment that this meeting has occurred. The acknowledgment does not indicate agreement with the decision; it indicates that the right to notice has been fulfilled.
7. Review and Revision of Personnel Policies
- a. These procedures will be revised as necessary by the Department Personnel and Policies Committee (DPPC). The D/PC will convene the DPPC if needed to complete a review and make revisions. The DPPC shall consist of at least three tenure-track faculty members for the purpose of making the recommended changes to the Personnel Policies and Procedures for Contract Renewal, Tenure, and Promotion. Non-tenure track members of the department may not serve on the DPPC.
  - b. The D/PC will advance revisions for approval through the necessary processes: Meeting and voting of tenure line ITE faculty, cover letter, and advancement to the COE Dean. After the Dean's review, the D/PC will monitor submission of revised policies to the Chancellor, and the University of Hawaii Professional Assembly.
  - c. The D/PC shall be responsible for seeing that copies of the revised Personnel Policies and Procedures for Contract Renewal, Tenure, and Promotion are made available to all faculty members within a reasonable time of any revision.

## **B. Guidelines for Dealing with Contract Renewal Applications**

- 1. The D/PC and DPC responsibilities with regard to contract renewal applications
  - a. The reappointment recommendation form for each contract renewal applicant is given to the candidate by the D/PC, who then passes it to the DPC Chair.
  - b. The DPC assesses each applicant's contributions to:
    - 1) The areas of Teaching, Research and Service for Instructional (I) faculty, or
    - 2) The specifics of the job description for Specialist (S) faculty, and recommends renewal or non-renewal of the applicant's contract to the College Dean.

- c. The D/PC then meets with the applicant to communicate the evaluation and recommendation of the DPC and obtains the applicant's signed acknowledgment that the required meeting has occurred and that the applicant has been given all relevant materials.

2. Relevant Procedures

- a. Tenure-track faculty members in the second, fourth and each subsequent year of their probationary service are required to submit an application for contract renewal. The DPC and D/PC are required to forward an evaluation and a recommendation for renewal or non-renewal to the Dean.
- b. No recommendation for renewal or non-renewal is made in the case of instructional and specialist tenure-track faculty members in the first and third years of their probationary service.
- c. The DPC will meet to discuss each application and to compose a written evaluation of the applicants' teaching, scholarship, service, and/or performance in relationship to his or her job description. The evaluation will provide details of the faculty members' performance in each of these areas.
- d. Each of the five members of the DPC, after an open discussion of the applicants' strengths and weaknesses, will vote by secret ballot, to approve or deny the application. DPC members may abstain and abstentions will be counted and reported as a separate category
- e. The DPC evaluation will include a recommendation for renewal or non-renewal of the applicant's contract.

**C. Guidelines for Dealing with Tenure & Promotion Applications**

The purpose of the DPC review of tenure and promotion applications is to read each applicant's document and other related materials (e.g., teaching evaluations, research papers, service records), assess the applicant's performance in the areas of teaching, scholarship and service (I faculty), and areas specific to his/her job description (S faculty). The DPC then provides a written assessment of the applicant providing details of strengths and weaknesses in each of the areas based on criteria outlined in Section II and/or criteria specified in the applicant's job description.

1. External reviews

- a. The Department's policy for external reviews must meet the most recent UH Criteria and Guidelines for Faculty Tenure/Promotion Application.
- b. By the end of the Spring Semester, the applicant is required to submit to the D/PC a list of at least five names (including rank, current university, current address, email, and current phone numbers) of respected scholars in his/her field who are employed at peer institutions, not employed in the UH system. Applicants **should not** contact possible external evaluators.

- c. The D/PC, after consulting with the Chair of the DPC, will add five more names of other scholars in the applicant's areas of expertise who can evaluate this applicant's work. The D/PC will then contact the potential reviewers during summer to secure agreement from five of the external reviewers, if possible, to participate in the process to ensure enough time to review and report on the applicant's dossier. The outcome of the solicitation process should reflect a 50-50 split from the applicant and D/PC/DPC lists of suggested reviewers. If this 50-50 split is not achieved, the DPC must document and provide analysis of the process used to create the final list of external reviewers. In all cases, the DPC letter shall always specify why the external reviewers included in the final list were selected based on their content area expertise.
- d. Applicants may submit names of external faculty they have reason to believe may not be in the position to provide an impartial evaluation. The use of thesis/dissertation advisors as external evaluators is strongly discouraged. (See Criteria and Guidelines for Faculty Tenure/Promotion Application, University of Hawaii at Manoa.)
- e. If external evaluators agree to serve, the D/PC will enlist the ITE program's secretary to mail a packet of items, some prepared and provided by the applicant at the D/PC's request and others prepared or provided by the D/PC.
- f. For Instructional Faculty, the D/PC will prepare and provide a cover letter requesting the external referee's professional opinion of the candidate's scholarly contribution to the field; a copy of the department criteria for tenure and/or promotion; and a copy of the university criteria for tenure and/or promotion. For Specialist Faculty, the D/PC will prepare a cover letter that includes the applicant's job description.
- g. The applicant will provide the D/PC with the following items for the packet to external reviewers:
  - 1) A one-page summary statement on workload and publication record; for specialists, a job description and a summary statement about duties and workload will be included.
  - 2) Three to five publications; for specialists, the list might include other scholarly endeavors.
  - 3) An updated and complete CV, including all relevant information about courses taught, publications and/or scholarly products, presentations and service so that the reviewers will get a clear picture of the applicant's endeavors in these areas.

2. Evaluation of Applicant by the DPC

- a. The DPC will evaluate the applicant's application for tenure and/or promotion based on the papers submitted to them by the applicant, the external evaluations, and other documented information on the applicant's instructional activities, research/scholarly activities, service activities, and relationship with faculty and students.
  - b. All information, discussions, and deliberations of the DPC shall remain confidential within the committee. Department members not on the DPC should refrain from inquiring about the DPC deliberations and decisions.
3. Voting
- Each of the five members of the DPC, after an open discussion of the applicant's strengths and weaknesses, will vote by secret ballot to approve or deny the application. DPC members may abstain and abstentions will be counted and reported as a separate category.
4. Communicating the results of the vote
- a. The DPC Chair will communicate the results of the vote (including the number of positive, negative and abstaining votes) to the applicant.
  - b. The written summary of the DPC's assessment will be shown to the applicant by the DPC Chair and attached to the applicant's documents.
  - c. The DPC Chair will seek an acknowledgment by signature from the applicant that the procedures in 4.a. and 4.b. have been followed.
  - d. A copy of the written assessment and the results of the vote will be sent to the D/PC.
  - e. The D/PC will make an independent assessment of the applicant's documents, append a summary and a recommendation to the applicant's document, and communicate both to the applicant. The D/PC will seek an acknowledgment by signature from the applicant that these procedures have been followed.
  - f. The D/PC will then forward the application document and appended recommendations and summaries to the Dean of the College of Education.

## **D. Guidelines to Applicants for the Preparation of Personnel Documents**

### General for Contract Renewal, Tenure & Promotion Applicants

1. A memo will be sent to faculty from the Dean of the College of Education via the Department/Program Chair identifying candidates for personnel action.
2. It is the responsibility of the applicants to be familiar with Department and University guidelines and deadlines. Applicants must submit their application by the announced deadlines.
3. Applicants are strongly advised to attend the University informational meetings on personnel action.

## **E. Guidelines to “I” Applicants for the Preparation of Personnel Documents**

1. In the second, fourth and subsequent years of service, required applications for personnel action will represent a cumulative record of the “I” applicant’s teaching, scholarship and service activities. Faculty members should develop and submit a dossier that follows the outline provided by the University (see Appendix guidelines as well). This dossier will be used as the basis for all further tenure and promotion applications. Faculty members are encouraged to add to their original dossier at each decision point rather than constructing a new document each time.
2. Applicants are encouraged to prepare and submit their documents well in advance of University deadlines and in accordance with the structure recommended by the University. The DPC will only consider timely, completed applications.

## **F. Guidelines for Tenure and Promotion of Specialists**

1. In the second, fourth, and subsequent years of service, applicants for personnel action should present a cumulative record of their activities that meet the terms of employment. Specialists should develop and submit a dossier that follows the specialist’s requirements as indicated in his/her letter of hire. The letter of hire should be included in the application as a guide to reviewers. That same format will be used as the basis for all further tenure and promotion applications. Specialists are encouraged to add to their original dossier at each decision point rather than constructing a new document each time.
2. Applicants are encouraged to prepare and submit their documents well in advance of University deadlines and in accordance with the structure recommended by the University. The DPC will only consider timely, completed applications.

## **G. Definition of Specialists and Ranks**

The instructional and research functions of the College of Education in some areas require the support of persons who have full professional training or experience, but who do not themselves necessarily teach or conduct research. However, persons in these positions must be familiar with the processes of teaching and research in order to render required support effectively. Examples of such positions are counselors in the Office of Student Academic Services; individuals who supervise teacher education students in field settings; individuals who perform administrative tasks for the department; and individuals who specialize in educational technology, distance education, or other areas of expertise not represented by the instructional and research faculty.

### **Duties and Responsibilities & Minimum Qualifications for Specialist Ranks**

#### **JUNIOR SPECIALIST (S2)**



Duties and Responsibilities. Under general direction, normally with limited latitude for independent judgment in the field of specialization, to perform assigned functions and to carry out routine tasks.

Minimum Qualifications. A master's degree from a college or university of recognized standing, with work in a field related closely to the position involved; one year of experience as assistant, or its equivalent represented by successful practice in the appropriate field.

#### ASSISTANT SPECIALIST (S3)

Duties and Responsibilities. Under general direction and with latitude for independent judgment in the field of specialization, to perform assigned functions and to carry out routine duties competently.

Minimum Qualifications. A master's degree; in addition to the master's degree, 30 credits of graduate study from a college or university of recognized standing and in a field relevant to the position involved; at least three years of experience in the appropriate area at the next lower rank, or its equivalent.

#### ASSOCIATE SPECIALIST (S4)

Duties and Responsibilities. Under general direction with wide latitude for the exercise of independent professional judgment in the field of specialization, to perform assigned functions competently.

Minimum Qualifications. A doctorate from a college or university of recognized standing and in a field relevant to the position involved; at least four years of experience in the appropriate specialty at the next lower rank with demonstrated increasing professional maturity, including at least two years of experience directly related to the current job assignment; demonstrated ability to plan and organize assigned activities, including the work of assistants where appropriate; ability to work effectively with faculty, staff, and administrators as necessary.

#### SPECIALIST (S5)

Duties and Responsibilities. With the exercise of independent professional judgment in the field of specialization; to perform any assigned functions competently without supervision; to plan, organize, and direct programmatic activities; to render consultative or lecturing services to civic or professional organizations as called upon.

Minimum Qualifications. A doctorate from a college or university of recognized standing in a field relevant to the position involved; at least four years of experience in the appropriate specialty at the next lower rank with demonstrated increasing professional maturity, including at least two years' experience directly related to the current job assignment; demonstrated ability as necessary to plan and organize assigned activities,

including the work of assistant when appropriate; ability to work effectively with faculty, staff, and administrators as necessary; proven ability to conduct research or to carry out independently major projects of importance to the University and the community.

## Section II: Criteria for Personnel Actions

### A. General Criteria

The departmental statement of Contract Renewal and Tenure and Promotion Criteria described below is bound by the parameters established by the University of Hawaii in the Criteria and Guidelines for Tenure/Promotion Application University of Hawaii at Manoa. The criteria are intended to clarify the University criteria in light of the goals and responsibilities of the Institute for Teacher Education. Faculty in the Institute for Teacher Education have the responsibility, for example, to carry teaching loads considered heavy in comparison to other colleges in our University. Instructional faculty (I) typically teach three courses per semester and Specialist faculty (S) often teach four courses per semester. Included in both I and S faculty semester loads is the expectation to be involved in at least one field-based course.

The Instructional (I) faculty applicant will be evaluated in each of the following areas described below: Instructional Activities, Scholarly Activities, and Service Activities.

The Specialist (S) faculty applicant will be evaluated in terms of his/her job description and University of Hawaii at Manoa criteria for tenure and or promotion for Specialists. Specialists should include the letter of hire and position description in their application since these documents provide the basis for the review of their work.

#### Documentation Box (Tenure & Promotion only)

Faculty should prepare a Documentation Box in support of their application dossiers for tenure and promotion (to be stored in applicant's office through the review period) that includes:

- Evaluations for each course taught since date of hire or last promotion. An explanation for any missing sets of course evaluations must be explained in the dossier;
- Copies of all publications, including those in press or in review, since hire or last promotion;
- An explanation of the order in which authors are listed in papers with multiple authors is required. Co-authors' statements verifying estimates of contributions to scholarly works, using percentages to indicate the degree of the estimated contribution, must also be included.
- Letters of hire and job description ("I" Faculty only; "S" faculty should include letter of hire and job description in the main body of the dossier);

In addition, include the following if applicable:

- Copies of letters of acceptance for grants and publications;
- Copies of unsolicited letters of support and appreciation;
- Copies of peer evaluations of teaching;
- Copies of certificates of awards and/or achievement.

## **B. Instructional Activities**

### 1. Definitions and procedures

- a. The Department regards the quality of an applicant's field-based, campus-based, and online/distance teaching as a major indicator of his/her contribution to the mission of the Department, College, and University.

Excellence in teaching is evidenced by data gleaned from student evaluations for each course the applicant has taught; consistent, high quality interactions with students; refinement and improvement of teaching materials; use of current and innovative methodologies; and high expectations and clear criteria for students.

- b. It is the applicant's responsibility to document his/her teaching effectiveness and the depth and breadth of contributions to the teaching demands of the Department.
- c. The Department encourages and recognizes multiple forms of evaluation of teaching. Supporting evidence may include: the applicant's reflection on his/her teaching philosophy; pedagogic practices and their effectiveness; student evaluations; peer observations of the applicant's teaching; course materials; and descriptions of other contributions to the teaching mission of the College in the form of new courses and programs. These materials provide a developmental record and assessment of the applicant's growth and the quality of his/her teaching.

### 2. Evaluations

- a. Faculty members have a responsibility to report various student and course evaluation data for each item on the course evaluation (Supporting Materials), and to elaborate on how he/she uses those data (Statement of Endeavors). If a faculty member chooses to use an evaluation format containing a five-point scale, average ratings should be at least 3.5 as they approach tenure. Teaching effectiveness as indicated by these evaluations should show growth over time. When ratings are less than 3.5, applicants are encouraged to indicate how they are addressing the lower ratings.
- b. Applicants should use forms of evaluation that both assist the applicant in improving instruction and document teaching effectiveness. The applicant should provide a rationale for his/her choice of evaluation instrument.

### **C. Scholarly Activities (“I” faculty only)**

The faculty member must have demonstrated a level of scholarly achievement appropriate to the rank at which tenure/promotion is sought in comparison with peers active in the same discipline. The comparison peer group consists not only of departmental colleagues, but also of the community of scholars active at similar major research universities.

All applicants should articulate a research agenda and provide evidence of their productivity and potential as a scholar. For the Assistant Professor seeking tenure and promotion to Associate Professor, the applicant should be well on the way to becoming an established scholar in his/her discipline. The Associate Professor seeking tenure/promotion should be an established scholar whose scholarly contributions and recognition during the probation period reflect this stature. The full Professor must be a leader in the scholarly discipline. In general, publications in the major journals and presses in the field is of first importance in establishing this level of scholarly achievement.

In general, publications and other creative activities of a type that permit review by independent referees are of first importance in establishing scholarly achievement. The department expects a reasonable, well-planned research agenda, manifested by an average production of two or more scholarly endeavors per year. At least three of these endeavors should be peer-reviewed publications. The applicant is responsible to document his/her scholarship and to provide clear details on the significance of work within his/her discipline or field. Scrutiny by external reviewers or referees is an expected component of a candidate’s scholarship.

Due to the nature of partnership development and field-based work in ITE, applied research and practice-based research are appropriate venues for faculty in the department. Collaborative research between university faculty members and among university faculty and school personnel is highly valued and dual or multiple authorship is fully credited by the department.

A detailed listing of the criteria that will be used at each rank may be found in the promotion criteria and the statement of minimum qualifications. (See Criteria and Guidelines for Faculty Tenure/Promotion Application, University of Hawai’i at Manoa.)

All areas of scholarship relevant to the department’s mission and direction are valued. Some of these areas of scholarly achievement are:

1. Publication in peer-refereed journals, including online or electronic journals:
  - a) Include co-author’s order rationale and estimates of contributions using percentages,
  - b) Indicate, when possible, the acceptance rates of the journals where the work of the applicant was published or an explanation of why those rates are not available;
2. Publications in proceedings of national and international meetings;
3. Authorship of books and chapters in books;

4. Keynote addresses and peer-reviewed presentations at national and international meetings;
5. Invited presentations;
6. Contributions as journal editors and paper reviewers;
7. Research products on teaching, learning, children, classrooms, and schools;
8. Research products on social/cultural/historical/ policy in education;
9. Research products on the design and development of curriculum materials;
10. Funded grants, excluding travel grants;
11. Invited publications and reports;
12. Submitted reports on research; and
13. Others forms of scholarship as justified by the applicant.

The applicant's bibliography shall clearly differentiate between peer- and non peer-reviewed activities (e.g., publications, conferences, grants), especially between peer- and non-peer reviewed journal articles.

#### **D. Service**

Service is defined as participation in the academic affairs of the University, general education community, and the profession in general. Such efforts, paid and unpaid, which employ professional competence for the benefit of the Institution or the College's education partners, the good of the community and/or the advancement of the profession, will be considered as support for both promotion and tenure. The department regards the quality of an applicant's service as an important indicator of his/her contribution to the mission of the department, college, university, schools, community, and profession.

It is the applicant's responsibility to document his/her service contributions and to provide clear details on the significance of the service to the community.