

APPROVED:

James D. Kandaoh 2/11/2019
UHPA Date

APPROVED:

[Signature] 2/22/19
Mānoa Chancellor's Office Date

**DEPARTMENTAL PROCEDURES &
CRITERIA FOR CONTRACT RENEWAL, TENURE AND PROMOTION OF
FACULTY SPECIALISTS
LEARNING ASSISTANCE CENTER
OFFICE OF UNDERGRADUATE EDUCATION
UNIVERSITY OF HAWAI'I AT MĀNOA**

**DEPARTMENT PROCEDURES GOVERNING CONTRACT RENEWAL, TENURE
AND PROMOTION**

I. PROCEDURES FOR CONTRACT RENEWAL

**a. Composition of the Departmental Personnel Committee/Faculty Personnel
Committee (DPC / FPC)**

i. The DPC / FPC will consist of five or more tenured faculty who will serve for a period of one year.

ii. As individual units under the Office of Undergraduate Education do not contain enough tenured members to form a departmental personnel committee (DPC), the Assistant Vice Chancellor for Undergraduate Education (or his/her designee) will, in consultation with the directors of each unit, form joint OUE faculty personnel committees (FPC) for all units in a given year.

1. Until there are enough faculty in OUE to form a FPC, 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 UHM tenured full-time faculty from related disciplines.

2. 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 Assistant Vice Chancellor for Undergraduate Education (or his/her designee) within a week of the announcement of the potential FPC members.

b. General Requirements/Purpose of Contract Renewal

i. 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 BOR/UHPA Agreement.

ii. For LAC faculty specialists, 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:

1. Provide the candidate an opportunity to prepare a document (application for contract renewal) that gives an overview of accomplishments and work in progress to assist the personnel committee in assessing strengths and weaknesses.

- 2. 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.
 - iii. 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.
 - iv. The determination of the DPC/FPC recommendation to Department Chair or Director shall be based on a majority vote of all bargaining unit faculty.
- c. **Criteria for Contract Renewal**
 - i. In general, a specialist faculty's contract may be renewed if (1) performance of assigned duties has been rated satisfactory; (2) there is a continuing need for her/his services, particular knowledge, and/or skills; and (3) 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.
 - ii. 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, Learning Assistance Center, University of Hawai'i at Mānoa."
- d. **Timeline**
 - i. In September, the FPC or DPC committees will be selected. Those individuals selected will be asked to serve on their respective committees for a period of one year.
 - ii. 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**
 - i. The FPC or DPC reviews the document submitted by the candidate and submits their assessment and recommendation to the Department Chair. All final voting will occur by secret ballot.
 - ii. The Department Chair reviews the material submitted by the candidate as well as the recommendations of the FPC or DPC. The Chair then makes an independent assessment and completes a written recommendation about the candidate.
 - iii. The recommendation of the FPC or DPC and the Chair will be made available to the candidate for review.
 - iv. The candidate meets with the Chair and reviews the written recommendations of the FPC or DPC and the Chair.

- v. The entire document and recommendations are forwarded to the Assistant Vice Chancellor for Undergraduate Education (AVCUE).
- vi. 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 & PROMOTION

- a. Formation of the Department or Faculty Personnel Committee (DPC/FPC)
 - i. The DPC will consist of five tenured faculty members whose eligibility is determined current BOR/UHPA agreement. Committee members will serve for a period of one year.
 - ii. As individual units under the Office of Undergraduate Education do not contain enough tenured members to form a departmental personnel committee (DPC), the Assistant Vice Chancellor for Undergraduate Education (or his/her designee) will, in consultation with the directors of each unit, form joint OUE faculty personnel committees (FPC) for all units in a given year.
 - 1. Until there are enough faculty in OUE to form a FPC, 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 UHM tenured full-time faculty from related disciplines.
 - 2. Individual candidates will be given an opportunity to request exclusion of 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 Assistant Vice Chancellor for Undergraduate Education (or his/her designee) within a week of the announcement of the potential FPC members.
- b. General Requirements/Purpose of Tenure/Promotion

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, Learning Assistance Center, Office of Undergraduate Education, University of Hawai'i at Mānoa."

- i. For tenure: The general reasons for granting tenure are that the University has concluded that the candidate (1) is and will continue to be a productive and valuable member of the unit, (2) has shown a pattern of continuing professional growth that is positive, and (3) will contribute toward meeting a long-term need of the institution because of the individual's professional specialty and services. 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.”

- ii. For promotion: In order to be considered for promotion, the candidate must meet the minimum qualifications established by the Board of Regents 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.”
- iii. 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.
- iv. Only Faculty Members of equal or higher rank to which the applicant is seeking can vote on the dossier for promotion.
- v. The determination of the DPC/FPC to Department Chair or Director shall be based on a majority vote of all bargaining unit faculty.
- vi. The director shall not participate by voice, vote or presence, or in any other form of communication, in the deliberations of the DPC over individual tenure and promotion deliberations.

c. External Referees for Tenure/Promotion

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 Department Chair with five names and addresses of individuals who work in the field of learning assistance, tutoring or developmental education and are not in the UH-system and do not have a conflict of interest and can 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 to secure an equal number of external evaluations from both lists. An external evaluator should hold a position equivalent to the rank to which the candidate is applying for or a higher one. The candidate should not contact the possible external evaluators.

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 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 outside referees in order to maintain confidentiality.

d. Confidentiality and Access to the Dossier

During deliberations, members of the FPC or DPC, and those in supervisory and administrative positions within the unit 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.

Information provided by external reviewers will be kept confidential. Any material submitted to the FPC or DPC relating to an individual's application becomes part of the dossier and must be retained and go forward with the document. In addition, no anonymous material will be accepted at any level of deliberation.

e. Timeline

- i. In September, the FPC or DPC committees will be selected. Those individuals selected will be asked to serve on their respective committees for a period of one year.
- ii. The Chair will notify the candidate in writing s/he is scheduled for tenure review.
- iii. The Department Chair will begin the process of soliciting the names of external referees, and collect materials from the candidate to be included in the external evaluation process.
- iv. The candidate will observe the deadline set by the University.

f. Review Steps

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." The FPC/DPC level, all final voting will occur by secret ballot.

III. GUIDELINES AND PROCEDURES FOR FIVE-YEAR REVIEW

The Learning Assistance Center (LAC) at the University of Hawai'i at Mānoa (UH-Mānoa) hereby establishes the following procedures for review of its tenured Faculty Specialists. The guidelines that follow refer to and summarize parts of three different preexisting documents:

- a. Procedures for Evaluation of Faculty at UH-Mānoa (Revised 2014)
- b. Departmental Personnel Committee Policies & Procedures, Learning Assistance Center, University of Hawai'i at Mānoa.
- c. Criteria and Guidelines for Faculty Tenure / Promotion Application, University of Hawai'i at Mānoa (September 2014)
- d. The Board of Regents Policy 9.213 establishes the general guidelines for periodic evaluation of faculty and provides for a review once every five years. LAC

candidates for five-year review should read the Procedures for Evaluation of Faculty at UH-Mānoa (Revised 2014) that describes this review process.

- e. As stipulated by the Procedures, appropriate unit leaders will notify, no later than September 1, those faculty members who are to be reviewed. MAC candidates for five-year review should turn in their review materials (described in the next section) by December 1.
- f. Faculty Specialists identified for five-year review will submit a curriculum vita, resume, or “professional profile” describing their professional activities since the last review (application for tenure or promotion, or five-year review). This written document should reflect the unit’s mission, requirements, and expectations for the specialist’s rank or classification. Materials submitted by Specialists should address the following categories detailed in Departmental Personnel Committee and Procedures for Tenure and Promotion:
 - i. Professional Activities and Functions
 - ii. Scholarly Contributions and Professional Development
 - iii. University and Community Service
- g. It is expected that Faculty Specialists will continue to perform at the professional level at which they were tenured or to which they have been promoted. Therefore, Faculty Specialists 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 (Revised September 2014). Evidence bearing on the criteria described by the following standards should be submitted, according to the job level being reviewed:
 - i. All Specialists (S-2 through S-5)
 - 1. Professional achievement and productivity.
 - 2. Professional growth in the specialty.
 - 3. Service to the professional and lay communities.
 - 4. Ability to work effectively with faculty, staff and administrators.
 - ii. Assistant Specialists (S-3)
 - 1. Competence, productivity and continued professional achievement and maturity.
 - 2. Performance of duties calling for independent professional judgment in the field of specialization.
 - 3. Indication of the capacity to supervise clerical help as appropriate.
 - iii. Associate Specialists (S-4)
 - 1. Continued professional maturity in the professional specialization.
 - 2. Ability to competently exercise independent professional judgment.
 - 3. Ability to supervise the work of assistants as appropriate and to plan and organize assigned activities.
 - 4. Professional achievement that reflects his or her stature as a contributor to the standards, techniques and methodology of the profession.
 - 5. Interaction with the broader professional community beyond UH-Mānoa.
 - iv. Specialists (S-5)

1. Continued productivity and professional maturity.
2. Ability to competently exercise independent professional judgment.
3. Evidence of successful planning and organization of assigned activities, including the supervision of assistants if appropriate.
4. Professional achievement that establishes his or her stature as a substantial contributor to the standards, techniques and methodology of the profession.
5. Evidence of significant interaction and leadership with the broader professional community beyond the University.

IV. AMENDMENTS TO THE DOCUMENT

As indicated in the current BOR/UPHA 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.

The proposed amendments shall be sent through the Assistant Vice-Chancellor for Undergraduate Education, to the appropriate Vice-Chancellor for review and approval, which shall not be unreasonably withheld. Approved amended procedures shall be filed with the UHPA and the Assistant Vice-Chancellor for Undergraduate Education. 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

Introduction

Faculty members at a major research university such as the University of Hawai'i at Mānoa are generally engaged in three distinct but interrelated categories of activities: teaching, research, and service. Specialist faculty may engage in a variety of processes and methods of teaching and research. However, the primary goal of specialist faculty in the Learning Assistance Center (LAC) is to provide academic support services to students in the attainment of their academic and personal goals.

Scope of Responsibility

The responsibilities of specialist faculty in the LAC generally involve three categories of activities. The categories are: 1) professional activities; 2) professional development; and 3) service activities. Each of the three categories of responsibility is briefly defined in this document, and each includes examples of specialist faculty endeavors within each category. Activities and functions of LAC specialist faculty may include but are not limited to those included in the list of examples in each category. Neither is the specialist faculty expected to engage in every activity/function listed in each category. These descriptions are to be viewed as guidelines only, and not as minimum qualifications for tenure and/or promotion. Minimum criteria and minimum qualifications for tenure and/or promotion of specialist faculty are defined by BOR Executive Policy, E5.221 and UHM criteria.

I. PROFESSIONAL ACTIVITIES

LAC specialist faculty engage in a variety of activities that facilitate the overall mission of the University in relation to student success and retention. Activities may encompass a broad spectrum, including direct client services (at least 50% of workload), program development, and administrative duties. Specialists engage in sensitive and efficient response to changing student needs.

a. Direct Service

- i. Providing individual or group counseling/consultation/support
- ii. Conducting informational or developmental workshops and seminars
- iii. Supervising internships, practica, research, work experiences
- iv. Providing feedback/evaluation/assessment of participant performance in research endeavors, programs, counseling, etc.
- v. Designing, developing, and teaching academic courses

- vi. Designing and implementing teaching/instruction/research strategies based on selected goals, learning theory, and characteristics of learner/participant
- vii. Developing effective research tools, learning aids, teaching materials, simulations, etc. to be used in teaching/presentation/workshops/research
- viii. Serving as advisor to student organizations/groups and/or other groups
- ix. Providing verbal and written support in related endeavors, including assigned academic and research projects
- x. Participating as a guest presenter

b. Program Development

- i. Identifying and assessing client group needs in a systematic manner and responding appropriately in program planning and management
- ii. Engaging in program planning, development, and implementation, including securing extramural funding when available and appropriate
- iii. Monitoring and evaluating program progress
- iv. Making arrangements for coordinating, and/or supervising participation in activities/programs
- v. Developing and improving techniques, procedures, and materials
- vi. Participating in the development and/or revision of program literature

c. Administration

- i. Participating in the development, interpretation, revision, and implementation of policies and procedures governing a program/activity
- ii. Developing and/or securing resources for use in support of programs
- iii. Performing general administration

II. PROFESSIONAL DEVELOPMENT

Faculty specialists remain current with developments in the field of specialization, enhance skills and techniques, and continuously expand basic knowledge in order to better serve students, faculty, the institution and the community. In addition, specialist faculty utilize research and evaluation to ensure that programs and services are relevant and that they are meeting student and institutional needs.

a. Professional Enhancement

- i. Engaging in formal study, workshops, meetings seminars and conferences in order to enhance professional competence
- ii. Completing requirements for advanced degree, license, diploma, certification, etc., in a field relevant to the position involved
- iii. Remaining current with literature and professional associations relevant to area of expertise (e.g., belonging to professional societies, contributing to professional activities, reading professional publications)

- b. **Scholarly Activities/Evaluation/Research**
 - i. Determining needs and interests of targeted service groups through systematic assessment methods
 - ii. Evaluating success, effectiveness, use satisfaction, utilization of program or service through systematic evaluation methods
 - iii. Conducting research (formal inquiry through accepted means: reviewing literature; generating hypotheses; collecting, analyzing, and interpreting data) or engaging in other studies in field of specialization
 - iv. Planning and/or editing written/oral reports of results of studies/evaluation/research
 - v. Presenting materials for publication in relevant journals, books, monographs, etc.
 - vi. Being selected and/or invited to make a formal presentation, participating in a panel presentation or discussion group at a professional conference/seminar
 - vii. Presenting poster sessions/papers at a professional conference, colloquium, seminar
 - viii. Applying for and receiving fellowships, grants, contracts and/or awards for study/research/evaluation purposes
 - ix. Participating in collaborative research, grant applications
 - x. Engaging in professional activities that enhance the visibility, image, and prominence of the unit/division/institution

III. SERVICE

- a. **University Service**
 - i. Serving as a member or chair of a departmental, campus-wide, or system-wide committee
 - ii. Serving as a member or chair of faculty governance bodies, committees (e.g., Mānoa Faculty Senate, College Faculty Senate)
 - iii. Serving as a mentor to colleagues, staff, students
 - iv. Responding to both formal and informal requests for documentation of relevant data, proposals, reviews, reports
 - v. Serving as a member of a review/evaluation committee or panel
 - vi. Acting as a special project leader or coordinator
 - vii. Organizing/presenting conferences/workshops for faculty development
 - viii. Providing expertise/consultation in developing and/or teaching courses/workshops in collaboration with other university professionals
- b. **Professional Service**
 - i. Reviewing research, professional organization proposals, manuscripts
 - ii. Serving as officer and/or board member in a state, national, or international professional society in the area of one's expertise
 - iii. Organizing, chairing, or co-chairing a conference or conference session

- iv. Serving as editor of conference proceedings, as journal editor, and/or as a member of an editorial board or other professional publication in area of expertise
 - v. Responding to requests to conduct workshops, seminars, and presentations in area of expertise
 - vi. Working to provide options/opportunities for faculty development that also enhance of the mission of the university
- c. Community Service
- i. Providing uncompensated or compensated consultation to the community-at-large and to government agencies in area of expertise
 - ii. Speaking, making presentations to public groups
 - iii. Serving on advisory boards, committees related to area of expertise
 - iv. Conducting conferences and workshops on or off campus for the benefit of the community-at-large
 - v. Providing expert testimony at legislative and public hearings and/or meetings in area of expertise
 - vi. Providing assistance to federal, state, or county agencies in area of expertise
 - vii. Providing service to volunteer organizations in area of expertise

August, 2017