

APPROVED:

APPROVED:

James D. Kaidash 11/22/2014  
UHPA Date

Neil Deane 12/1/14  
Mānoa Chancellor's Office Date

SOCIAL SCIENCE RESEARCH INSTITUTE  
COLLEGE OF SOCIAL SCIENCES  
UNIVERSITY OF HAWAII AT MANOA

CRITERIA AND GUIDELINES FOR CONTRACT RENEWAL, TENURE, PROMOTION, AND  
PERIODIC REVIEW OF TENURED FACULTY

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## I. Purpose

This document describes procedures agreed upon by the Faculty of the Social Science Research Institute (SSRI) for reviewing applications for contract renewal of faculty on limited-term appointments<sup>1</sup>; contract renewal for probationary faculty, tenure, and promotion for tenure-track faculty; promotion for tenured and non-tenured faculty, and the review of tenured faculty. These procedures comply with the terms of the *2009-2015 Agreement between the University of Hawaii Professional Assembly and the University of Hawaii Board of Regents*, Board of Regents (BOR) Policies, and the current version of University of Hawaii at Manoa's (UHM) *Criteria and Guidelines for Faculty Tenure/Promotion Application*.

## II. General Procedures

- A. The review process is initiated by the Director of SSRI and reflects the procedures outlined in Article X, Article XII, and Article XIV of the *2009-2015 Agreement between the University of Hawaii Professional Assembly and the University of Hawaii Board of Regents*.
- B. A faculty member will be considered for contract renewal, promotion, tenure, and periodic review in accordance with the criteria and guidelines for contract renewal, tenure, promotion, and periodic review established by the College of Social Sciences (CSS), the UHM, and the University of Hawaii BOR.
- C. All applications for contract renewal, tenure, promotion, and periodic review are reviewed by the SSRI Personnel Committee (DPC), and the Director of SSRI.
- D. All final votes are by secret ballot. All proceedings are confidential.
- E. All applicants for contract renewal, tenure, promotion, and periodic review will be provided a copy of the *SSRI Criteria and Guidelines for Contract Renewal, Tenure, Promotion, and Periodic Review of Tenured Faculty*, a copy of UHM's *Criteria and Guidelines for Faculty Tenure/Promotion Application*, and a copy of CSS guidelines.
- F. It is the responsibility of the applicant to: maintain complete and accurate records of her/his activities and accomplishments, apply for contract renewal, tenure and/or promotion, and periodic review, compile and submit a complete and accurate dossier, and comply with all deadlines.
- G. The Assistant to the Director of SSRI manages all correspondence and records related to the review process. DPC members and the Director of SSRI will take care to preserve the confidentiality of the review process.

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<sup>1</sup> Faculty members on limited-term appointments may be funded by (a) state general funds and other non-extramural funds or (b) extramural funds in the Social Science Research Institute (SSRI).

### III. Department Personnel Committee (DPC)

- A. The DPC is responsible for conducting performance assessments and preparing recommendations for: (a) contract renewal of faculty members on limited-term appointments (b) contract renewal for probationary faculty, tenure, and promotion of tenure-track faculty and (c) promotion of tenured and non-tenured faculty in the SSRI.
- B. The DPC consists of five tenured faculty members in SSRI.<sup>2</sup> If there are less than five tenured faculty members in SSRI, the Dean, in consultation with the SSRI Director, will constitute a Faculty Personnel Committee, comprised of UH-Manoa tenured faculty with an appointment of at least .25 FTE in SSRI, and additional tenured faculty from related disciplines. The SSRI Director, in consultation with SSRI faculty, will provide a list of potential members to the Dean, who will review the list and consider additional candidates if necessary, before making the appointments.<sup>3</sup> Only faculty members above the rank of the applicant at the time of the application can vote on applications for promotion (per UHPA/BOR Agreement, Article X, Section B).
- C. The DPC will elect the committee Chair who will be responsible for preparing the agenda for the work of the committee, scheduling and chairing meetings, and meeting deadlines for contract renewal, tenure, and/or promotion assessment/recommendation. The Chair of the DPC shall be a faculty member tenured in SSRI and serves as a voting member of the committee.
- D. A midterm vacancy due to illness or unanticipated leave shall be filled by the same method initially used to fill the position.
- E. DPC members who are being considered for promotion are excluded from all deliberations and votes concerning their case.

### IV. The Dossier

- A. All applicants are encouraged to consult with the Director of SSRI and the DPC Chair concerning the content and format of the dossier (application, in the case of contract renewals). Applications for tenure and promotion must follow University guidelines for the content and format of the dossier.

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<sup>2</sup> Modifications to the composition of the DPC may be superseded by individual faculty employment contracts, Memorandum of Agreement, and other hiring agreements.

<sup>3</sup> For SSRI/UHERO faculty, the Director of SSRI shall consult with the applicant and the Director of UHERO to provide names of potential committee members to the Dean. Consideration will be given to recommending tenured faculty from the list of UHERO fellows who are familiar with UHERO's mission and the applicant's contribution to UHERO.

- B. Prior to the completion of the DPC review, the applicant may submit new information to be included in the dossier. Departments, Department Chairs, and UH administrators shall not include unsolicited information in a tenure dossier.
- C. No anonymous material will be placed in the dossier.
- D. Tenure track faculty and faculty on limited-term appointments applying for contract renewal must include the following information in their dossier:
  - 1. A cover sheet including
    - a. Name
    - b. Rank/title
    - c. Date of initial appointment in SSRI
    - d. Period covered by application for contract renewal
    - e. Description of job duties and responsibilities
  - 2. A narrative description of the applicant's (a) professional, scholarly, and service activities accomplished since the last review and (b) self-assessment of contributions and future value to SSRI. Supporting documents such as publications, reports, etc., completed since the last review may be attached.
  - 3. Curriculum vitae

## V. Criteria and Review Process for Contract Renewal of Probationary Faculty

### A. Criteria

Faculty shall be reviewed in accordance with criteria established by Board of Regents Bylaws and Polices, Section 9-15, and the position description agreed-upon by the faculty member, the SSRI director, and the dean of the College.

### B. Review Process

#### 1. The DPC Review

- a. The DPC will review the application and all supporting materials submitted by the applicant.

- b. The Chair of the DPC may ask the applicant for additional clarifying information. Otherwise, the applicant and the DPC should have no communication regarding the proceedings.
  - c. The DPC prepares an assessment of the applicant and recommendation for or against contract renewal. All final votes shall be by secret ballot.
  - d. The DPC forwards the result of their vote and their recommendation to the SSRI Director.
2. The Director of SSRI reviews the application and prepares an independent assessment and recommendation for or against contract renewal.
  3. The Director shows the completed Contract Renewal recommendation document to the applicant in person before it is forwarded to the Dean. The applicant acknowledges that he or she has reviewed the evaluation by signing the document.

## VI. Criteria and Review Process for Tenure and Promotion

### A. Criteria

Faculty shall be reviewed in accordance with criteria established by Board of Regents Bylaws and Policies, Section 9-15, and the position description agreed-upon by the faculty member, the SSRI director, and the Dean of the College.

### B. Review Process

1. The Director of SSRI in consultation with the DPC will solicit external evaluations of the applicant's work.
  - a. The applicant submits the names and addresses of 3-5 individuals of respected scholars in the field, or related fields, who are not at UH. External evaluators should be at least of equal or higher rank to which the applicant is applying.
  - b. The Director of SSRI and the Chair of the DPC in consultation with the DPC will identify 3 or more external evaluators.
  - c. Potential external evaluators are contacted to determine their availability to serve as an external evaluator of the applicant's work. At least 6 evaluators will be invited to submit evaluations. Three potential evaluators will be drawn from the

list submitted by the applicant and three or more from the list prepared by the DPC/SSRI Director.

- d. External evaluators will be sent a cover letter, a curriculum vita, and copies of research papers and products for review. The letter will conform to guidelines established by the UHM. External evaluators will be asked to provide an assessment of the applicant's work and contributions, as appropriate for the applicant's job description.
- e. UHM procedures for handling external evaluations will be followed. All reasonable efforts will be made to insure confidentiality of external evaluations.

## 2. The DPC Review

- a. The DPC will review the applicant's dossier and all supporting materials submitted by the applicant and external evaluators.
- b. The Chair of the DPC may ask the applicant for additional or clarifying information. Otherwise, the applicant and the DPC should have no communication regarding the proceedings.
- c. The DPC prepares an assessment of the applicant and a recommendation for or against tenure/promotion including the tally of committee members' votes. All final votes shall be by secret ballot.
- d. The DPC forwards their recommendation to tenured faculty in SSRI. All tenured faculty in SSRI vote on the application by secret ballot, and forward the result of their vote and their recommendation to the SSRI Director.

3. The Director of SSRI prepares a separate assessment and recommendation.
4. The Director of SSRI will convey to the applicant the final recommendation of the DPC and the Director of SSRI—whether they are for or against tenure/promotion.

VII. Criteria and Review Process for Faculty on Limited-Term Appointments – Non-Extramurally Funded

A. Criteria

Faculty shall be reviewed in accordance with criteria established by Board of Regents Bylaws and Policies, Section 9-15, and the position description agreed-upon by the faculty member, the SSRI director, and the Dean of the College.

B. Review Process

1. The DPC Review

- a. The DPC will review the application and all supporting materials submitted by the applicant.
- b. The Chair of the DPC may ask the applicant for additional clarifying information. Otherwise, the applicant and the DPC should have no communication regarding the proceedings.
- c. The DPC prepares an assessment of the applicant and recommendation for or against re-appointment. All final votes shall be by secret ballot.
- d. The DPC forwards the result of their vote and their recommendation to the SSRI Director.

2. The Director of SSRI reviews the application and prepares an independent assessment and recommendation for or against re-appointment.

3. The Director forwards both assessments to the applicant for his or her signature acknowledging review of the assessments before they are forwarded to the Dean.

VIII. Criteria and Review Process for Faculty on Limited-Term Appointments – Extramurally Funded

A. Criteria

Faculty shall be reviewed in accordance with criteria established by Board of Regents Bylaws and Policies, Section 9-15, and the position description agreed-upon by the faculty member, the SSRI director, and the dean of the College.

B. Review Process

1. The Principal Investigator (PI) of the extramurally-funded contract/grant will review the application and supporting materials submitted by the applicant, prepare an assessment of the applicant and recommendation for or against re-appointment, and submit his or her written assessment and recommendation to the Chair of the DPC.
2. The DPC Review
  - a. The DPC will review the application and all supporting materials submitted by the applicant, including the PI's written assessment.
  - b. The Chair of the DPC may ask the applicant for additional clarifying information. Otherwise, the applicant and the DPC should have no communication regarding the proceedings.
  - c. The DPC prepares an assessment of the applicant and recommendation for or against re-appointment. All final votes shall be by secret ballot.
  - d. The DPC forwards the result of their vote and their recommendation to the SSRI Director.
3. The Director of SSRI reviews the application and prepares an independent assessment and recommendation for or against re-appointment.
4. The Director forwards all assessments to the applicant for his or her signature acknowledging review of the assessments before they are forwarded to the Dean.

## IX. Criteria and Review Process for Periodic Review of Tenured Faculty

### A. Criteria

Tenured faculty shall be reviewed in accordance with criteria established by Board of Regents Bylaws and Policies, Section 9-15, and the position description agreed-upon by the faculty member, the SSRI director, and the dean of the College.

### B. Review Process

The Director of SSRI conducts the faculty review in accordance with current *Procedures for Evaluation of Faculty at UH Manoa*.



X. Amendments

- A. Amendments to these procedures may be recommended by a majority vote of the SSRI faculty who are Bargaining Unit 7 members in accordance with Article X of the current agreement between the UHPA and the BOR.
- B. The proposed amendment(s) will be sent through the Dean to the Chancellor and the Union for review and approval.
- C. Applicants will have the option to elect that his/her dossier/application be reviewed under the amended procedures or the prior year's procedures.