

APPROVED:

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Mānoa Chancellor's Office Date

**CRITERIA AND PROCEDURES FOR PROMOTION, TENURE, AND
CONTRACT RENEWAL**

Department of Ocean and Resources Engineering
School of Ocean and Earth Science and Technology
University of Hawaii at Manoa

(Adopted: May 5, 1997)
(First Revision: October 19, 2000)
(Second Revision March 1, 2011)
(Third Revision: May, 2013)

Preamble

Minimum qualifications for tenure and promotion as defined by the University (current criteria and procedures as approved by the Board of Regents) apply in all cases. The Department's criteria and procedures are additional to the minimum qualifications of the University. Furthermore, the minimum requirements for Departmental procedures in the current agreement between UHPA and the University apply in all cases. In evaluating cases for promotion and/or tenure: (a) all final votes will be conducted by secret ballot; (b) there will be strict exclusion from deliberations and voting of any individual who is not a tenured bargaining unit 07 member; and (c) procedures will be followed for the orderly review of dossiers at the Department level.

Basic Faculty Performance

The department will periodically review faculty following the "Procedures for Evaluation of Faculty at UH Manoa (revised 2014)".

Faculty are expected to execute their duties in research, teaching, and service as provided for in policies established by the ORE Chair, the SOEST Deans Office, and the UHM Criteria and Guidelines for Faculty Tenure and Promotion. This includes:

- A. Conduct scientific research relevant to ocean and resources engineering and publish the results.
- B. Regularly offer and effectively teach courses designed to meet the needs of the Department or University.
- C. Be valuable in graduate education through conscientious advising and supporting of students and through assisting student research.
- D. Participate in the functioning of the Department and its program through service on committees.

Promotion

- I. Promotion will only be recommended if the candidate is contributing to the

programs of the Department.

- II. For promotion to Ranks III, IV, and V the candidate must meet the minimum professional-qualifications set forth for each rank by the University. The candidate's dossier should be accurate and include all the documents requested in the Faculty Promotion Application Form of the University.
- III. Assessment of the performance and achievement of the candidate in teaching, research, and service, commensurate with the nature of his/her appointment, is evaluated using the following criteria:
 - A. Teaching:
 - (1) Quality: Course evaluations by students using the standard Departmental forms will be utilized to determine teaching quality as perceived by students.
 - (2) Curriculum: Faculty will improve course contents and initiate or participate in new curriculum developments and teaching methods. Teaching effectiveness may also be judged from submitted lecture notes or books.
 - (3) Advising: Number of undergraduate and graduate students, and post-doctoral fellows advised; graduate students directed and funded; number of thesis and dissertation committees chaired and served on.
 - B. Research:
 - (1) Publications: Quality and number of books, articles in peer-reviewed journals and peer-reviewed book chapters, monographs, review articles, technical reports, other non peer-reviewed literature, and peer-reviewed or non peer-reviewed conference proceedings. Quality and significance will be assessed by examination of reprints which must be submitted to the department, original referee's or editor's comments, published reviews, and frequency of citation. The relative level of contribution will be assessed for papers with more than two authors by the place of the candidate in the authorship list. Number of citations, and other quantitative aspects of the publication record such as impact factor, h-index, etc. will be considered. Articles that are not peer-reviewed will in general not be given as much weight as those which are peer-reviewed. Thus, all publications must clearly indicate whether they are peer-reviewed or not. A Citation List must be submitted.
 - (2) Funding: Extramural grants funded as PI/PD and co-PI; intramural funding will also be considered as evidence of research productivity but will be given lesser weight than extramural funding.
 - (3) Other research activities: Development, support, and/or supervision of

multi-user research facilities; significant participation in major field programs and/or research cruises; presentation of research results at scientific meetings, conferences, and symposia, scholarly discoveries, and invitation to address symposia or conferences.

C. Service:

Significant involvement in Departmental, University, and Professional activities through service on committees, editorial boards, and other professional services at local, national, and international levels; community service (e.g., guest lectures at schools, clubs, etc.); officers of professional societies; advisory services to students and faculty.

To be recommended for promotion the candidate should have an excellent record of research, teaching, and service.

IV. Outside Evaluation by Peers

The department will obtain external evaluations of the work of each applicant for tenure and promotion. An evaluator should be at, or above the rank aspired to by the applicant. External evaluators should be professionally capable to assess the applicant's work objectively and comment on its significance in the discipline.

The applicant is asked to provide in writing 5 names and addresses of respected scholars in related fields who are not at the University of Hawaii at Manoa and who hold no conflict of interest in the candidate's application. Applicants should not contact possible external evaluators. It is the obligation of the Department to secure external evaluations. The department chair, in consultation with the chair of the DPC, will solicit letters from 5 external scholars in the relevant field, preferably at other R1 institutions, who have no conflict of interest.

Approximately the same 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 and if possible copies of reprints of the applicant's major publications, if practical. The purpose of the request is to obtain an opinion about the scholarly contributions that the applicant has made and not to determine whether or not the applicant would receive tenure/promotion at another institution.

The confidentiality of such evaluations is of great concern. The following paragraphs should be included in the letter to external evaluators:

"Your review of Professor _____ is for the sole purpose of helping the faculty and administration of the University of Hawai'i at Mānoa to evaluate this faculty member for promotion and/or tenure (use appropriate phase). Your identity as a confidential referee will not be shared with this applicant and we will do our best to maintain the confidentiality of your evaluation.

The faculty and administration of the University of Hawai'i greatly appreciate your willingness and efforts in evaluating and commenting on the work of this faculty member."

When the external evaluations arrive in the departmental office, necessary steps should be taken to ensure that the evaluation is kept confidential. The procedure for handling the evaluation should include the following:

1. Mark the letter "Confidential" as soon as it arrives. Do not show the letter to the applicant at any time.
 2. Make seven (7) copies of the letter and assemble eight (8) sets of confidential letters (original + 7 copies). One set of confidential letters should be included with each copy of the dossier.
 3. Place the confidential letters in eight (8) manila envelopes marked "CONFIDENTIAL" and with the applicant's name. Include inside each envelope a listing of the reviewers, their institutional and disciplinary affiliations and whether they came from the candidate's or the department's list. Also include a copy of the letter sent to external reviewers.
 4. On page 5.2, Department Assessment (Section E, Confidential Letters of Evaluation), indicate the number of confidential letters solicited by the department and the number of confidential letters received by the department. Do not list the authors of the confidential letters in this section.
 5. In the summer following the application year, when the final decisions are announced, a brief letter should be sent to each of the external reviewers informing them of the disposition of the case and thanking them once again for their efforts on behalf of the department, the college, and the UH Mānoa. In the case of a negative decision, departments must confirm with the Mānoa Chancellor's Office that any appeal has been resolved prior to contacting the reviewers.
- V. It is the responsibility of the candidate to assemble all necessary information for promotion. The Department Personnel Committee, after due deliberation of the applicant's promotion application, will vote in secret and forward in writing its results to the Department Chair.
- VI. The Departmental Personnel Committee will consist of all tenured faculty, and other tenured faculty, appointed by the Dean (because of the departments small size; CBA Article XII, G.2.m.) in consultation with the department chair, at or above the rank of the applicant, to total at least 5 eligible members. The Department Chair may not serve on the DPC or participate in deliberations of the DPC regarding individual tenure and promotion applications.

VII. Promotion Accomplishments

For promotion from Assistant to Associate Professor, the candidate must:

- A. Show excellence in research characterized by a high rate of production of significant work published in refereed journals.
1. Rate and significance are assessed by the peer group (the Department Personnel Committee, which in turn solicits opinions from other peers in the candidate's field, both locally and at other institutions). The quality of the work in terms of creativity, difficulty, and importance is the main consideration in assessing significance. These same factors will be considered heavily in the rate assessment. The value of the works themselves, the length and difficulty of the projects, etc., are important, whereas mere numbers of publications are not. It is impossible to give rules defining for all cases what will be an adequate or a high rate of significant research production, especially in ocean and resources engineering, which embraces quite diverse possibilities. Very roughly, one to two major pieces of work in three years, perhaps augmented by a few minor projects, might be in the "adequate" range, whereas three or more major works, again perhaps with some minor ones, could be getting into the "highly" productive range. It is also possible that during the same period a single project with results of great, widely recognized significance could be "highly" productive. Although quality work and productivity are hard to define precisely, their presence is clearly recognizable; a faculty member concerned about his/her rating in this area may ask the Department Personnel Committee for preliminary assessments and guidance.
 2. It is expected that the results obtained from a faculty member's work will be published in refereed journals.
 3. The ability of a faculty member to obtain research funds from agencies that employ peer review will also be considered.
 4. Research results obtained in connection with consulting will not be counted unless they stem from work clearly beyond the scope or prior to that for which the consultant was hired.
- B. Show excellence in education as characterized by producing extraordinary value for students. As examples, it might be evidenced by:
1. Course evaluations showing that students feel the candidate's courses are of exceptional quality.
 2. Student's testimony that the candidate has been especially valuable and helpful to them as an advisor or committee member.
 3. Special efforts by the candidate to meet student needs and interests (developing new courses, giving informal courses or instruction on topics of special interest, etc.).
- C. Show excellence in service which is unremunerated professional effort given to the Department, the University, or the community at large.
1. Service to the Department is effort beyond committee membership or small, routine duties.
 2. Examples of important service beyond the Department are working in college or university faculty governance bodies, task groups, etc.; assisting elementary or high school programs in science; evaluating environmental impact statements advising governmental bodies; acting as a reviewer for journals and funding agencies; and helping to organize or administer

scientific conferences or cooperative research programs.

A faculty member will be recommended for promotion from Associate Professor to Professor as a consequence of the stature and recognition that a faculty member has earned beyond the confines of the department.

- A. Recommendation does not result from length of service. In fact, the Department values and respects the contributions of its Associate Professors, and it is possible that some could serve indefinitely in this rank.
- B. Recommendation will be made on the basis that the faculty member's activities have produced lasting and significant effects that are recognized and esteemed outside the Department. Examples in each area might be:
 - a. In research: Respected peers at other institutions feel that the candidate's work has had a definite and valuable influence on his field. His/her results have stimulated or been of use to other workers on numerous occasions. He/she received appointments that indicate scientific or engineering stature--such as certain journal editorships, chairmanships or important scientific or engineering committees, etc.
 - b. In education: The university community (faculty in other departments, administrators, etc.) feels that the candidate has made special and significant contributions to the educational process. Former students testify that their contact with the candidate had special or lasting influence. The candidate receives appointments or awards that reflect outside recognition of his/her contributions as an educator.
 - c. In service: People in the university or outside communities testify that the candidate's efforts have had a significant and beneficial impact in some area such as faculty governance, environmental quality, etc.
- C. Although a single, spectacular achievement might bring great recognition and stature to a faculty member, it is expected that most candidates will earn this by making a number of significant contributions over a period of years. In most cases the faculty member will have a fairly accurate idea of his/her own stature and may inform the Department Personnel Committee whether he/she is ready or not ready to be considered. Those having questions may ask the Department Personnel Committee for informal assessments and guidance.

Minimum qualifications for tenure and promotion as defined by the University, and as added to by the department apply in all cases of I (instructional) and R (research) faculty. S (service) faculty are treated similarly as modified by the details of their offer letter.

Tenure

- I. Tenure will only be recommended if the candidate is contributing to the programs of the department and has demonstrated through past accomplishments that he or she will continue to render valuable service to the Department in the future. The candidate will meet the "Reasonable Expectations" of the Department with respect to the current Board of Regents Policy and the Criteria and Procedures for the Periodic Evaluation of Ocean and Resources Engineering Faculty, adopted October 11, 1996.

- II. The ultimate criterion for achieving tenure is that the candidate must have made significant contributions to his/her field of specialty through teaching and research. Recommendations concerning tenure will be made after assessment of the candidate's qualifications in teaching and research and, to a lesser extent, service to the Department, the University, and the Profession.
- III. The evaluation criteria for teaching, research and service and outside evaluation by peers for tenure are the same as for promotion.

To be recommended for tenure the candidate should have an excellent record of research, teaching, and service.

- IV. The compatibility of the candidate in the Department will be judged on the basis of his/her cooperation with other faculty members and with students, assumption of responsibility in departmental affairs, and ethical behavior.
- V. The DPC will also consider the following for tenure:
 - A. Future value of the candidate to the teaching, research and academic development programs of the Department and University,
 - B. The importance of the candidate's special expertise to the University's potential lifetime commitment,
- VI. The section IV. Outside Evaluation by Peers, also applies to the process of applying for tenure. It is the responsibility of the candidate to assemble all necessary information for tenure. The Department Personnel Committee, after due deliberation of the applicant's tenure application, will vote in secret and forward in writing its results to the Department Chair.
- VII. The Departmental Personnel Committee will consist of all tenured faculty, and other tenured faculty, appointed by the Dean (because of the departments small size; CBA Article XII, G.2.m.) in consultation with the department chair, at or above the rank of the applicant, to total at least 5 eligible members. The Department Chair may not serve on the DPC or participate in deliberations of the DPC regarding individual tenure and promotion applications.

Tenure Criteria and Procedures for Assistant Researcher/Specialist, Associate Researcher/Specialist or Researcher/Specialist will generally follow the above criteria, but shall be weighted to the nature of appointment.

Contract Renewal

- I. Contract renewal will only be recommended if the probationary or temporary faculty member is contributing to the programs of the Ocean and Resources Engineering Department.

- II. The applicant faculty member will submit a current curriculum vitae and supporting file in sufficient time for the Department Personnel Committee and Department Chair to evaluate the faculty member fairly.
- III. The curriculum vitae and file will address performance and achievement with respect to teaching, research, and service as given above in Section III under Promotion. The supporting file should emphasize accomplishments since the period of hire or since the last review, whichever is appropriate. Letters of evaluation from outside the University will not be required.
- IV. For probationary faculty members, the DPC and Chair will not only evaluate the teaching, research, and service activities, but will also examine evidence related to the issues given above in Section VI under Tenure, namely value to programs, special expertise, and reasonable progress.
- V. For researchers and others under temporary appointments (not tenure-track), the file should show evidence weighted to the nature of the appointment, and the DPC and Chair will evaluate the activities accordingly.
- VI. The Departmental Personnel Committee will consist of all tenured faculty, and other tenured faculty, appointed by the Dean (because of the departments small size; CBA Article XII, G.2.m.) in consultation with the department chair, at or above the rank of the applicant, to total at least 5 eligible members. The Department Chair may not be on the DPC.

Policies and Procedures for Selecting Department Chair

The department chair is appointed by the Dean every 3 years in consultation with the faculty. The election process proceeds with faculty submitting nominations before the previous appointment period ends, which is July 1 of the election year. The recommendation for Department chair forwarded to the Dean must be based on a majority vote of all BU07 members in the department.