

APPROVED:

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UHPA Date

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Mānoa Chancellor's Office Date

PACIFIC BIOSCIENCES RESEARCH CENTER

PROCEDURES GOVERNING PROMOTION, TENURE AND CONTRACT RENEWAL

(Revised April 2015)

MISSION STATEMENT OF THE PACIFIC BIOSCIENCES RESEARCH CENTER

The Pacific Biosciences Research Center (PBRC) seeks excellence in interdisciplinary biological research by fostering independent and original work and by training future academic and research leaders through education and research.

To achieve this mission, PBRC will:

- Promote cross-disciplinary research initiatives and foster development of areas of excellence focused on the unique plant and animal species, marine and terrestrial ecosystems, and populations throughout the Pacific Basin.
- Integrate all research activities and training of researchers and students, with particular emphasis on promotion of diversity.
- Promote collaborations across disciplines at the University of Hawai'i, within the state of Hawai'i and across national and international boundaries.

The activities of PBRC are guided by principles of sustainability with respect for Hawai'i's culture, values and limited natural resources. It is the goal of PBRC to be a leader in Hawai'i and the Pacific in biological education and research.

COMPOSITION OF THE DPC AND PROCEDURES

PBRC is a Level V unit and is not further differentiated into Level VI departmental units. To fulfill its mission, PBRC faculty members may hold R, I, I/R, or S appointments and have the Ph.D. or equivalent degree. These may be joint appointments, with academic departments or other institutes, and funded in whole or in part from General Funds, or other funds. To simplify nomenclature, the PBRC Personnel Committee will be referred to as the Departmental Personnel Committee (DPC). All tenured faculty with 0.5 or more FTE in PBRC will serve on the Committee. The locus of tenure is not necessarily in PBRC. Exemptions from service on the DPC in any one year may be granted by its Chair in consultation with the Committee for such reasons as heavy travel commitments, sabbatical leave, conflict of interest, and personal reasons. A quorum shall be over one-half of non-exempt DPC members. A new Chair will be elected annually by the DPC at its first meeting of the year. The timetable for the orderly review of dossiers will be issued in August and will be provided to the DPC and to potential applicants.

Candidates for promotion and/or tenure will be asked to submit the names of six potential referees from outside UH Mānoa. The DPC will select three from this list and add three additional referees identified by the DPC. The candidate will also be asked to submit up to three reprints of recent publications, as appropriate. Invitations to referees will be issued at the earliest opportunity in the Fall in order to complete the candidate files in a timely fashion. Evaluations will consider the applicant's performance in research, teaching, and service with emphasis dependent upon the applicant's type of appointment (R, I, I/R, or S). Voting by the DPC will be by secret ballot. DPC members who are unable to be present at the meeting at which a particular dossier is discussed shall be excused from voting and shown absent, not as abstentions. The DPC will write a detailed evaluation of each applicant and its recommendation or denial of promotion and/or tenure. The evaluation will

be forwarded to the Director for review. The DPC can discuss any recommendations for changes in these procedures, and send them through the Director, to the Chancellor's Office and to the University of Hawai'i Professional Assembly (UHPA) for review and approval. Once approved, they will be filed in the Director's Office. Any requests for waivers of minimum qualifications or of time in rank must be submitted to the Director by the deadline established by the OVCAA for the year of application. The candidates and DPC must familiarize themselves with the current UHPA/BOR Agreement, the PBRC procedures for promotion and tenure described in this document and the University guidelines for promotion and tenure.

The DPC will make recommendations on contract renewals of probationary tenure-track faculty during the probationary period, according to the schedule laid out in the current UHPA/BOR agreement. This analysis is to assess faculty progress towards fulfilling criteria for promotion and tenure as specified by the current UHPA/BOR Agreement. The DPC Chair will show the assessment and recommendation to the faculty member and have him/her sign an acknowledgment form before the recommendation is forwarded to the Director. In interim years when no contract renewal recommendations are mandated, if the probationary faculty member so desires, the DPC will undertake an informal analysis of his/her progress towards fulfilling the criteria for promotion and tenure in order to provide him/her with additional guidance.

Responsibility for assessing faculty supported, in whole or in part, by extramural funds rests primarily with the appropriate principal investigator or supervisor who makes a recommendation to the PBRC Director regarding contract renewal. Contract renewal will be in accord with the terms of the faculty Collective Bargaining Agreement.

The DPC chair will conduct the periodic reviews of faculty. Periodic reviews are conducted by the DPC chair, because the Director is an executive appointment and PBRC's Program Directors are not official Department Chairs. The results of the reviews will be provided to the relevant Program Director for information, and if necessary, action.

CRITERIA FOR AWARD OF TENURE

PBRC subscribes to the University's criteria for tenure, but as a research institute places the highest priority on the research performance and stature of its faculty. Particular emphasis will be placed on the ability of the candidate to carry out an independent research program relevant to the mission of PBRC. Teaching obligations (especially for faculty in an Instructional classification), administrative duties and service commitments will be taken into account as appropriate, but outstanding contributions in these endeavors do not substitute for excellence in research performance. Community service will be taken into account if it is in areas directly related to the applicant's University duties. The following non-exclusive criteria set out the accomplishments and activities that may be assessed in evaluating an application for tenure.

1) Research criteria

The faculty member must have demonstrated a level of research achievement, funding support (competitive grant awards and other extramural funding), productivity (publication record, including citation record), national/international recognition, independence, collaboration (within and outside PBRC) and originality/innovation appropriate to the rank at which tenure is sought in comparison with peers active in the same field at a research university. An Assistant at Rank 3 level seeking tenure as an Associate at Rank 4 should be well on the way to becoming an established researcher in his or her field. At the Associate level, the candidate should be an established researcher whose productivity and recognition during the probationary period reflects this stature. At both Ranks 3 and 4, the candidate must demonstrate the likelihood of developing his/her research abilities in such a way as to eventually merit promotion to Rank 5. At Rank 5, the candidate must be among the leaders in the research field. A more specific listing of the criteria that will be used at each rank may be found in the promotion criteria given below. Emphasis will be placed on the ability of the

candidate to carry out an independent research program relevant to the mission of PBRC and the ability to secure and maintain major extramural funding for their research.

2) Instructional criteria

The faculty member must undertake instructional activities consistent with the type of his/her appointment and the primary responsibility to research. Such instruction will consist principally of training and mentoring graduate students (including chairing and serving on graduate student committees) and postdoctoral researchers as well as developing and teaching formal graduate level courses and contributing to other formal courses (e.g. team teaching). These activities may extend to training undergraduate students in research (including chairing and serving on honors student committees). Student evaluations, if available, and hours per semester/year may be used in evaluating the candidate. Obtaining extramural training/mentoring grants in support of these activities is encouraged.

3) Service criteria

Candidates are expected to contribute to the missions of PBRC and the University and to promote constructive relationships with other faculty members and students. They will provide service in his/her professional capacity to PBRC and the University (e.g. committee membership, senate membership, administrative responsibilities), to the local, national and international scientific communities (e.g. reviewing manuscripts for journals, reviewing grant applications, serving on NSF and NIH panels, serving as an officer or on committees of scientific societies) and to the wider local, national and international communities (e.g. outreach, public education, provision of expert advice).

CRITERIA FOR AWARD OF PROMOTION

As for award of tenure, PBRC subscribes to the University's criteria for promotion, but as a research institute places the highest priority on the research performance and stature of its faculty. Teaching/training and service commitments will be taken into account but outstanding performance in these endeavors cannot substitute for excellence in research. The following non-exclusive criteria set out the accomplishments and activities that may be assessed in evaluating an application for promotion.

For Promotion to Assistant Researcher or Assistant Professor

- 1) Fulfillment of University criteria for promotion to this rank.
- 2) Evidence of the candidate's ability to carry out original research. Authorship of research publications in refereed journals in which a major contribution to the research is demonstrated. Citation counts, assessed via various indices (e.g. h, the number of papers with citation number greater than or equal to h; i10, the number of publications that have at least ten citations from others) will be evaluated in comparison with peers.
- 3) Potential to attract extramural and intramural funds for independent research projects.

For Promotion to Associate Researcher or Associate Professor

- 1) Fulfillment of University criteria for promotion to this rank.
- 2) Demonstrated ability as an original, independent, productive researcher. Productivity will be measured in terms of quality and significance of the research done: publications in refereed journals, with clear demonstration that the candidate carries full responsibility for the organization, design and data evaluation of the research program, citation counts, assessed via various indices (e.g. h, i10) in comparison with peers. Only papers published since the candidate's last promotion at the University of Hawai'i will be taken into account, but a full C.V. may be submitted.

- 3) Demonstrated and sustained ability to attract extramural funds for independent research projects. If grant applications have been approved but not funded or resubmissions requested, then reviewers' critiques may be submitted to substantiate the candidate's standing.
- 4) Clear indications of establishing a national/international reputation: participant in symposia, special conferences, referee for scientific journals, etc.

For Promotion to Researcher or Professor

- 1) Fulfillment of University criteria for promotion to this rank.
- 2) Achievement of a recognized position as an established and respected researcher in the national and international scientific community, as evidenced by a publication rate consistent with the candidate's field of research in peer reviewed journals in his/her field, invitations to contribute to major international conferences and symposia, authorship or editorship of scientific books, review of papers for major journals and grant proposals for funding agencies, editorship of major journals, service on grant review panels, service as an elected officer of a national/international scientific society, citations (various indices). Only publications published since the candidate's last promotion at the University of Hawai'i will be taken into account, but a full C.V. may be submitted.
- 3) A consistent and sustained track record of extramural funding of research projects by national granting agencies. Greatest weight is given to peer-reviewed grants from NIH and NSF and other federal agencies, but the source of funding is weighed against the total funds available to maintain an active research group and publication rate.
- 4) The candidate should be fully capable of representing PBRC at any committee level within the University. While not all researchers or professors will necessarily be involved in the administration of teaching or research, it should be recognized that the willingness and ability to perform such tasks when called upon is an important criterion for promotion to the highest academic rank.

Specialists in PBRC

Specialist faculty play a crucial role in in PBRC, which is a research institute noted for its diverse programs and core research support facilities.

Tenure

The success of PBRC is due in part to its ability to respond to change, and hence, is augmented by the judicious use of the Specialist category. It must be noted that offering tenured positions in the Specialist category will be used sparingly.

Promotion

The Departmental Personnel Committee finds the University Guidelines adequate for judging an application for promotion within the Specialist category. The applicant will provide the DPC with a copy of the original advertisement for the position, the updated job description, and a current C.V. to assist in the review process. Initiating updating of the position description is the responsibility of the applicant in collaboration with the Director.

POST-TENURE REVIEW

The DPC has agreed to use the PBRC guidelines for promotion to Researcher or Professor as departmental expectations for post-tenure review. Specialists undergoing post-tenure review should provide an updated position description to assist in their evaluation.