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Document 1. DEFINITIONS AND GENERAL POLICIES

A. Classification of HIMB Faculty Members

1. Regular Faculty. All Regular Faculty are on the HIMB payroll. There are three categories of Regular Faculty at the HIMB.

1.1 Category 1. Board of Regents (BOR) appointed G-funded tenure or tenure-track faculty, either full-time at HIMB or sharing joint BOR positions with other UH departments. These faculty are R, S or I; Rank 3,4,5. Those faculty can also be Rank 4 or 5 BOR appointed faculty with 3 year rolling contracts.

1.2 Category 2. Board of Regents appointed faculty who are non-tenure track faculty that are supported by either G funds or extra-mural funds through HIMB. These faculty have R, S or I positions of Rank 3, 4, or 5. Appointees to these positions must be hired through a national or international search and approved by the DPC. This practice is to ensure HIMB hires competitive personnel.

1.3 Category 3. Board of Regents appointed faculty who are non-tenure track faculty that are supported by either G-funds or extra-mural funds through HIMB. These faculty have R or S positions of Rank 2. Appointees to these positions may be hired without a national search.

2. Affiliate Faculty. There are three categories of Affiliate Faculty at HIMB. Affiliate Faculty are non-compensated faculty (with Personnel Notification Forms.) Their appointments are renewed annually.

2.1 Co-operating Faculty. Co-operating Faculty are members of academic departments or research institutes within UH who conduct their marine science research programs and grants through HIMB. These positions carry the title: "Co-operating Professor, Researcher, Associate Professor, Associate Researcher, Assistant Professor, Assistant Researcher, etc."

2.2 Adjunct Faculty. Adjunct Faculty are non-compensated appointees from outside UH. Adjunct Faculty participate in programs with Regular and Co-operating HIMB Faculty as part of the ongoing active research programs. The Adjunct Faculty Classification is described in UH BOR Policy Chapter 9 pp. 50-51. These appointments carry the title: "Adjunct Professor, Researcher, Associate Professor, Associate Researcher, Assistant Professor, Assistant Researcher, etc."

2.3 Visiting Faculty. These appointments are appropriate for short-term visiting faculty and extend from a period of a few weeks to one year. The Visiting Faculty Classification is described in UH BOR Policy (Ch. 9 pp. 30-31). These appointments carry the title: "Visiting Professor, Researcher, Associate Professor, Associate Researcher, Assistant Professor, Assistant Researcher, etc."

B. Procedure for BU 07 Non-Tenured Faculty

BU07 non-tenured faculty - regular faculty Category 2 and 3 above - are typically hired as HIMB employees from G-funds or extramural funds. The director may assign space and resources to soft-money faculty independent of tenure or tenure track status. Category 2 and 3 faculty (BU 07 faculty) may be a PI on a grant if a regular faculty is a Co-PI on the grant. BU07 nontenured faculty may apply for promotion through the same process that applies to tenure-track faculty.

C. Procedure for Establishing Co-operating, Adjunct and Visiting Faculty Status at HIMB

Colleagues may arrange a formal affiliation with HIMB by sending a current CV and short statement of their intended participation to the Director. Sponsorship by a member of the Regular Faculty in Category 1 is required. Sponsorship is necessary due to the need to share space and resources. The sponsor is a Regular Faculty member who is willing to accommodate the non-Regular Faculty member in his or her assigned laboratory space and who normally plans to collaborate with the applicant. It is the responsibility of sponsors to notify the DPC when an affiliate no longer meets the criteria for this relationship.

The Director will review the application, discuss appropriate sponsorships, assess space and facility requirements. The Director will schedule a seminar (required for Co-operating and Adjunct status but not for Visiting status) and forward the application materials to the HIMB PC. The HIMB PC process of approval includes the circulation of a current Curriculum Vita for examination by the Category 1 HIMB Faculty, evaluation of faculty response to the application, and a review of the appropriateness of the proposed affiliation. Approval requires a majority vote by the PC in favor of the application. The PC Chair informs the Director of HIMB of action taken. The Director will then notify the applicant. Following a favorable vote, the Director will notify the Dean of SOEST and initiate the preparation of the proper Personnel Notification Form (PNF) to reflect the new affiliate status.

Affiliate Faculty (i.e. Co-operating Faculty, Adjunct Faculty and Visiting Faculty) are expected to contribute to the research, educational, and service activities of the Institute. This includes, but is not limited to, participation in the education of graduate students, scientific collaboration with other HIMB Faculty, and conducting HIMB funded extramural research that meets with the qualitative and quantitative criteria established for permanent faculty. The status of each affiliate will be renewed annually and is subject to non-renewal at the discretion of the PC.

The purpose of Affiliate Faculty is to foster collaborative research. Affiliate Faculty members will have use of space and HIMB facilities as available, such availability being determined by the Director. Generally, Affiliate Faculty will share the space assigned to their faculty sponsor; they will also be permitted to use the HIMB collecting permit under the approval and supervision of their sponsor. Affiliate Faculty do not have the right to

sponsor other Affiliate Faculty or other personnel to HIMB; as stated above, sponsorship by Regular Faculty in Category 1 is required. Affiliates may be asked to serve on ad hoc committees. Fiscal (review of budgets, processing of proposals) and secretarial services may also be provided depending on availability of personnel to help with these activities.

D. Purpose and Composition of the Hawaii Institute of Marine Biology Personnel Committee (HIMB PC)

The HIMB PC is the formal body that conducts tenure/promotion reviews and evaluates the performance of the HIMB Faculty in accordance with procedures set forth by the University of Hawaii. The HIMB PC also votes on the status of Affiliate Faculty.

The HIMB PC consists of tenured faculty in Regular Category 1 who have at least a 0.5 Full Time Equivalent (FTE) appointment within the Institute. The Personnel Committee may also admit Regular Faculty of Category 2 who are at least 0.5 Full Time Equivalent (FTE 0.5) with at least 5 years experience as Rank 4 or 5 at HIMB. These non-tenured members may participate in discussion on personnel committee issues not related to tenure, promotion, or contract renewal; however the Collective Bargaining Agreement does not allow them to vote on tenure, promotion, and contract renewal.

If the number of eligible members falls below 5, the remaining members will select and solicit the participation of appropriate tenured faculty from other units within SOEST. Solicitation will be initiated by the committee and conducted by the DPC Chair. To evaluate S faculty at HIMB, at least two members of the committee will be an S faculty at S4 or S5 level. At least one of the S faculty shall have a similar focus as that of the applicant (i.e. a research or education/outreach focus). If there are no S faculty at this rank on the PC, then one will be included from other units within SOEST. Solicitation of the S faculty member will be initiated by the committee and conducted by the DPC Chair. The Chair of the committee is elected by a majority vote of the members of the PC and will serve for a period of one year, which may be renewed. The Director and Assistant Director of HIMB are not eligible for membership in the PC.

E. The Role of the HIMB PC in Faculty Evaluations

Regular Faculty. The HIMB PC is responsible for evaluating the Regular Faculty in Category 1 for promotion and tenure, and the Regular Faculty in Category 2 for promotion. The HIMB PC is also responsible for evaluating and voting on outside faculty for an Affiliate status. Tenure track faculty who are not tenured can be members of the HIMB PC (above) but they can not vote regarding promotion, tenure or contract renewal. The HIMB PC does not evaluate faculty for special salary adjustments; this is a vote made by all members of the BU-07 faculty.

Affiliate Faculty (Co-operating, Adjunct and Visiting Faculty). The HIMB PC will review each Affiliate HIMB Faculty member triannually and make recommendations to the Director concerning renewal of the affiliation. Criteria for renewal include participation in research, education, and outreach projects at HIMB, and mentoring

HIMB students, researchers, and faculty. Collaboration alone is not sufficient for affiliate status.

F. Synopsis of Policies Concerning Review and Evaluation of Regular Faculty for Promotion and Tenure

1. Categories of Activities. The accomplishments of applicants will be evaluated and reviewed in three categories of appropriate activities or endeavor. Greatest weight will be given to accomplishments since hiring at HIMB, and since last promotion.

1.1 Research. Past accomplishments, including publications, impact of published work (e.g. scholarly and scientific citations), extra-mural funding, development and positive evaluation of programs, novel and innovative approaches to the faculty member's specialty, and prospects for continued productivity are evidence of scholarship. Due to the wide range of differences among research areas in terms of publication rate, funding, and impact factors of journals. No specific criteria are suggested. Rather, the committee will base their evaluation on outside reviews from people in a similar field as the person applying for tenure or promotion. It is expected that faculty will apply for funding yet no value will be attached to source of funding. Funding varies greatly among disciplines and it is recognized that setting specific criteria for amount and source of funding is not reasonable.

1.2 Education and Training. For HIMB Faculty, these activities consist largely of advising graduate students, training and supervising technicians, but may include guest lectures, seminar courses, and formal instruction. For Specialists, program development, administrative activities, and client service are appropriate educational activities. For HIMB Faculty having a joint appointment with an academic department, more effort is expected from the applicant in teaching and formal instruction, relative to research. Evaluation of teaching and formal instruction will be, primarily, the responsibility of the academic department. In such cases where evaluation of teaching is relevant, the HIMB review committee will consider them in their evaluation. Specific criteria are not possible here because the teaching roles may vary greatly among disciplines and faculty.

1.3 Service and Professional Development. Included are service on departmental, school, college, and university level committees; and unremunerated interactions with various local to international level organizations and committees. Service activities that are related to the applicant's professional field are the only ones that count. Further details on criteria are elucidated below in the attached Criteria for Evaluation.

When evaluating faculty, the HIMB PC should consult the letter of hire to determine whether specific expectations in research, education, and service have been met.

2. Responsibilities and Procedures. It is the responsibility of each faculty member to submit a complete, updated and accurate set of records of accomplishments as the material in support of the application for promotion, tenure or both. Each applicant

should be aware of the existing instructions and guidelines for applications, and submit materials well before deadlines given by the Dean's Office at the college level so that time for adequate review at HIMB is available.

The HIMB PC shall make an announcement to the faculty and students that it is going to consider the appropriate cases for promotion or tenure, requesting input. The HIMB PC may then collect and consider materials gathered in accordance with BOR policy. A review and evaluation is then carried out, with adequate mechanisms being given for the candidate to discuss the recommendations with the HIMB PC before all documents are forwarded to the Dean. Details of the procedures are given below in Document V.

3. External Evaluation by Peers

The department will seek 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 evaluator should have no conflicts of interest with the applicant. Evaluators should primarily be from academic institutions with a significant research focus. Using evaluators from other types of institutions will require written justification.

The applicant is asked to provide in writing five names and addresses of respected scholars in related fields who are not at the University of Hawai'i, Mānoa. Applicants should not contact possible external evaluators. It is the obligation of the Department to secure external evaluations from scholars at institutions. It is recommended that the HIMB Director, in consultation with the Chair of the Personnel Committee, ask for letters from 5 scholars proposed by the applicant and approximately the same number of from known scholars proposed by the department who can evaluate the applicant's work. Not all of those who are asked to write a letter will, thus it is recommended that the committee receive at least 3 letters from each category of reviewer prior to evaluation.

The same cover letter soliciting the evaluation should be sent to each evaluator. The HIMB Director 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 (x) 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. The following summer, 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.

Document 2. PERFORMANCE CRITERIA FOR REGULAR FACULTY

A. Minimum Performance for Faculty in the I, R, and I/R Categories

It is expected that each faculty member will find the appropriate mixture of research, teaching, and service as defined herein, unless specifically employed to do otherwise.

1. Conduct scientific research relevant to marine biology in a broad sense and publish the results in peer reviewed journals. HIMB PC expects a minimum of two papers per year in a peer-reviewed journal, consistent with the standards set by SOEST. Citations, as compiled by recognized sources, will also be considered.
2. Acquire extra-mural funding, as needed to maintain an active research program. Such extra-mural funds generate overhead for operation of HIMB, provide salary support for students and provide the means of conducting scientific research. No specif will be associated with type of funding due to the fact that funding sources and amount vary among areas of research.
3. Regularly offer and effectively teach courses designed to meet the needs of the Institute, School or University (I).
4. Participate in graduate education through conscientious advising, evaluation and support of students and through assisting student research.

B. Minimum Performance for Faculty in the S Category

The principal responsibilities of faculty in the Specialist category are those that are outlined in their letter of hire. For additional guidance refer to the SOEST Education and Outreach Specialist Faculty addendum and Appendix B Supplemental Guidelines of the Criteria and Guidelines for Faculty Tenure/Promotion at University of Hawaii at Manoa. In addition, all 1.1, tenure-track faculty are expected to:

1. For Specialists with a research focus:
 - a. Conduct scientific research relevant to marine biology in a broad sense and publish the results in peer reviewed journals with a minimum of two publications per year.
 - b. Acquire extra-mural funding, as needed to maintain active research programs and program development.
 - c. Participate in education through advising, mentoring, and support of students or through assisting student research.
2. For Specialists with an education or outreach focus:
 - a. Conduct scholarly activities and service relevant to marine biology or marine sciences education. Plan and implement relevant educational/outreach programs, and determine their impact by collecting objective program evaluation

data, These activities may be conducted in collaboration with faculty colleagues in other departments, institutions, states, etc.

b. Produce high quality publications or other informational products in appropriate venues.

c. Acquire extra-mural funding to maintain active education and outreach programs, including outreach components of research grant proposals.

Document 3. CONTRACT RENEWAL FOR REGULAR FACULTY

The HIMB PC will evaluate each Category 1 faculty member for contract renewal during his or her probationary period, and make a recommendation to the HIMB director. They will appraise the faculty member's progress toward fulfilling tenure requirements. A review of the prior years' assessments will be undertaken to see if weaknesses/concerns previously identified have been addressed. The PC will also take into account future need when evaluating faculty for contract renewal. They will inform the candidate of their findings, especially advising him or her about performance areas that are weak. The results of the evaluation will be forwarded to the HIMB Director. The HIMB Director, in turn, will show the assessments to the faculty member under review and discuss the findings. A series of contract renewals does not commit the future HIMB PC or the Institute's administration to a favorable recommendation for tenure or promotion.

Document 4. CRITERIA FOR EVALUATION FOR REGULAR FACULTY

A. General Criteria

The criteria described here are in addition to those minimum qualifications set out in Board of Regents Policy minimum qualifications for each action and rank. The applicant shall have met the minimum performance criteria in Document 2 above. In addition, due consideration will be given to the letter of appointment for the applicant's original contract (i.e., the purpose for which the candidate was hired). The promotion to Associate (rank 4) or Full Professor (rank 5), or the equivalent levels in other categories, must be justified by the performance expected of that rank. Similarly, the granting of tenure as an Associate or Full Professor shall require performance in a manner consistent with the descriptions of these ranks provided below.

The tenure review process aims to decide whether indefinite retention of the candidate is in the best interests of the Institute. This review will consider such things as the candidate's productivity, and the likelihood that his or her professional future will be valuable to the Institute and the University. The primary consideration is the determination that the granting of tenure will better serve the overall research and educational goals of the Institute than would opening the position for recruitment.

1. **Criteria for Promotion to Associate Professor.** In order to be promoted to Associate Professor, the candidate shall have met the minimum performance criteria of Document 2 and demonstrated excellence in education, scholarship, research, and service. Typically, the candidate should have produced significant work published in refereed journals and other professional outlets, and also shown promise of steady, productive, high-quality scholarship. Order of authorship is not a specific criteria as first author is often assigned to a student or post-doc completing a project under the advice of a faculty member. In some subfields it is standard for the laboratory leader be placed as last author on a publication. Also in some collaborative work, the lead faculty may be the last two authors on a paper. Applicant should also demonstrate ability to attract funding, or show efforts to procure funding, needed for support and continuation of research. Organizing and conducting courses can show excellence in education and training. Excellence is determined by peer evaluation and by student course evaluations, letters of testimony, and the ability to supervise and train graduate students and technicians. (See specific criteria below.)

2. **Criteria for Promotion to Full Professor.** Promotion to this rank requires an exceptional record of research excellence and productivity. Promotion to the rank of full professor will be based on the stature and recognition of the candidate at national and international levels and active progress in their specialty. Favorable recommendation will be made if the candidate's activities have produced lasting and significant contributions that are recognized and esteemed outside the Institute. It is expected that most candidates will earn this rank through a record of achievement and through the development of a consistently productive and progressively maturing program of research, funding and/or scholarship.

B. Specific Criteria

1. **Research and Professional Activities.** Extramural grant proposals that are submitted for competitive peer review provide considerable evidence of research effort. Funding would usually provide substantial evidence of quality. Nevertheless, non-funded proposals that receive meritorious evaluation can provide meaningful documentation for quality of thought and effort. It should be emphasized that the correlation between quality of research and quantity of publications or funding success is by no means a perfect one. Some research efforts, by nature, require considerable lead-time before they produce publications. In such instances, other criteria for research progress must be sought (e.g., peer reviews of research programs).

2. **Education and Training.** At the HIMB, a number of researchers hold joint appointments with departments on the UH-Manoa (UHM) campus. The UHM department sharing the faculty appointment will be responsible for the evaluation of teaching in these cases. Inasmuch as research, training, and education are inseparable, members of the HIMB with full research appointments are also expected to teach. Most of their teaching will be on-the-job-training of graduate students, undergraduate students, and volunteers. They are also expected to supervise technicians who increase in competence and value to the respective programs of the State and other scientific missions of the Institute by such supervision. Participating on graduate student research committees is also expected for R and I faculty. For education specialists, training can include K-12, undergraduate, graduate, and community outreach efforts. The applicant is requested to detail activities in this regard, including teaching evaluations if available. It is also important that the applicant mention any formal teaching.

3. **Maturity.** Maturity, responsibility, cooperation and, above all, ethical behavior will be considered along with the criteria which assess research excellence and productivity. Faculty must show the ability to interact with fellow researchers, specialists, and support staff in a cooperative and collegial manner. Ability to effectively manage grants and contracts for education, research, and training is an important quality.

4. **Service and Leadership.** Service can only supplement, but not replace, demonstrated research and teaching excellence. However, service may be a major component of scholarly activities for S faculty. Furthermore, service within the University and the community and within the discipline of the faculty member is an essential feature of the academic profession. Services efforts can include the following: work on University, College, School and Institute committees; editorial and organizational work for international, national and regional, and professional journals and organizations; serving national agencies, e. g., NSF committees, NASA panels, etc.; giving testimony or otherwise interacting with legislative and/or executive branches of the Government of Hawaii or the City; leadership of and participation in the civic sphere with local citizens and special interest groups, whose aims and purposes are related to applicant's professional field.

Since the evaluation of technical competence and public service relies on peer judgments and deals with a variety of activities, it must remain somewhat subjective. The above Guidelines, while they cannot be exhaustive, have been set down to reduce this subjectivity as much as possible.

Document 5. PROCEDURES FOR EVALUATION OF REGULAR FACULTY

A. Applications and Announcements

For each personnel action, the Director informs the applicant of the nature of the pending action. The Director provides the applicant with the relevant Department, School and University materials and advises the applicant of the documentation that must be provided to the PC. The applicant shall be informed in writing of the HIMB PC membership reviewing the case.

B. Materials and Evaluation

When the applicant's documentation is complete, it will be held in the HIMB office for review by the faculty. No anonymous materials may be used in the review of faculty for tenure and promotion.

The written recommendation of the PC is based on the applicant's documentation, the confidential outside reviewer evaluations, and other solicited letters. The PC votes by secret ballot and prepares a written recommendation for the Director. In accordance with UH contract, only tenured individuals of bargaining unit 07 vote on tenure or contract renewal of another faculty member; and only faculty members of equal to or higher than the rank the applicant is seeking vote on applications for promotion. The candidate for promotion may not exclude participation by voting members of the PC. The written report of the PC is attached to the applicant's dossier as supporting evidence. This concludes the work of the HIMB PC. The Director will include the numerical vote of the PC in the recommendation to the Dean of SOEST.

C. Disclosure and Rebuttal

1. Upon request, a candidate may receive and respond to a copy of the initial recommendations of the HIMB PC before they are sent out of the Institute. The candidate may choose to discuss these recommendations with the HIMB PC Chairman.
2. A candidate may offer a rebuttal to the HIMB PC after reading their recommendations.
3. The HIMB PC may act on a rebuttal, and the candidate will be given a copy of the final recommendations.
4. The candidate's dossier, all attached supporting documents and any rebuttal, are then submitted to the Dean of the SOEST.

D. Responsibilities of HIMB PC to Those Evaluated

1. Copies of these HIMB Criteria and Procedures for Promotion and Tenure will be made available to all regular HIMB Faculty, and each faculty member should be aware of its existence and content.
2. The purpose of this document is to provide Guidelines for HIMB personnel actions, and to expedite a fair and objective peer review process. Each faculty member should ensure that the review process and procedures are carried out consistently with the intent of this document.
3. The performance criteria outlined in this document define the institutional standard to serve as guidelines for HIMB PC tenure and promotion reviews. They shall also serve as performance guidelines for purposes of administrative reviews of faculty performance including all post-tenure reviews.
4. While primary responsibility for advising new hires in tenure-track positions at HIMB regarding tenure, promotion, university procedures and policies, and other related matters lies with the HIMB Director, the HIMB PC will also assist with faculty mentoring. This mentoring is especially important for new, tenure-track faculty. Within three months of hire into a tenure-track position at HIMB, the new hire, in consultation with the HIMB PC chairperson, will select an appropriate faculty mentor for the new hire. Normally, the mentor will be a senior, tenured faculty member at HIMB. The HIMB PC chairperson is responsible for initiating the mentoring process with the new hire.