



UNIVERSITY  
of HAWAII®  
MĀNOA

September 25, 2013

**SENT VIA EMAIL (PDF FORMAT)  
AND INTER-OFFICE MAIL**

**MEMORANDUM**

TO: Brian Taylor, Dean  
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School of Ocean and Earth Science and Technology

FROM: Reed Dasenbrock   
Vice Chancellor  
for Academic Affairs

SUBJECT: Approved Department Personnel Committee Policies and Procedures

Enclosed please find approved procedures for the Hawai'i Natural Energy Institute, School of Ocean and Earth Science and Technology.

Please note that all faculty who will be submitting applications for tenure and/or promotion this fall should be given the option to use this document or the one in effect for the prior year.

If you have any questions, please call or email Beverly McCreary (64571 or bmccrear@hawaii.edu).

Enclosure

c: Assistant Vice Chancellor McCreary

APPROVED:

UHFA

James D. Kundash 9/13/13  
Date

APPROVED:

Mānoa Chancellor's Office

[Signature] 7/29/13  
Date

**PROCEDURES FOR TENURE, PROMOTION, AND  
CONTRACT RENEWAL IN THE HAWAII NATURAL ENERGY INSTITUTE**

Revised August 2013

I. BACKGROUND

A. The Hawaii Natural Energy Institute (HNEI) was created by the Hawaii Legislature in 1974 to seek new forms of energy that would enable the state to reduce its near-total dependence on imported fossil fuels. Since that time, HNEI has expanded its purview to include the development of ocean resources and new materials. Because the mission of HNEI gives special emphasis to engineering and applied science relevant to the needs of Hawaii and the world, its criteria for promotion and tenure differ somewhat from other institutes on campus. The guidelines and criteria for promotion, tenure, and contract renewal contained in this policy are intended to supplement those of the University of Hawaii at Manoa campus by reflecting the special needs of HNEI.

B. As delineated by this policy, HNEI staff members with I, R, or S appointments, or combinations thereof, are referred to as "faculty." Excluded from this definition are lecturers, visiting faculty, and the HNEI Director.

C. Appointments within HNEI are also categorized as T (tenured), P (probationary, tenure track), or N (not eligible for tenure). P faculty may apply for tenure and promotion; T and N faculty may apply for promotion only. HNEI staff who seek tenure should be aware of the fact that the University awards this rare honor only to its finest scholars after arduous scrutiny of the candidate's record of scholarly achievement. Tenure is not simply a reward for time-in-grade.

D. It is the responsibility of each candidate for promotion and/or tenure to compile and submit a complete, current, and accurate application in accordance with HNEI and UH guidelines.

E. The Institute Personnel Committee (IPC) shall consist of all T and P faculty and shall be concerned with all HNEI personnel issues brought before it exclusive of those related to tenure, promotion, and contract renewal.

1. The IPC Chairperson shall be elected by the IPC and shall serve for a two-year term. Any member of the IPC may be elected Chairperson. The election will be conducted in alternate years during the month of September by the HNEI personnel officer.

F. In accordance with the non-discrimination policies of the University of Hawaii at Manoa (UHM), HNEI does not discriminate against any faculty member. Each HNEI faculty member should attempt to ensure that all personnel actions are executed in a fair, impartial, and objective manner consistent with the guidelines contained in this policy.

G. A copy of this document shall be given to HNEI faculty by the HNEI personnel officer.

H. Faculty who will be applying for tenure/promotion to become effective after the acceptance date of this document shall follow and submit their application in accordance to this policy.

## II. THE PERSONNEL COMMITTEE AND FACULTY PERSONNEL COMMITTEE

A. The Personnel Committee (PC) shall consist of all tenured HNEI faculty. This is not to be confused with the Institute Personnel Committee (IPC) (see I, E) that consists of all tenured and tenure-track faculty and is responsible for personnel affairs exclusive of tenure, promotion, and annual contract renewal. Excluded from the PC are (1) those faculty who are candidates for promotion and/or tenure during the current academic year, or 2) those faculty who are on sabbatical leave, study leave, family leave, leave for jury or witness duty, leave without pay, or substance dependency rehabilitation leave during the period beginning with the due date that dossiers are submitted to the HNEI personnel officer and ending with the date that the evaluation of the applicants by the PC are due to the HNEI Director.

B. Following the guidelines stipulated in the *Collective Bargaining Agreement between the University of Hawaii Professional Assembly (UHPA) and the University of Hawaii Board of Regents (UH-BOR)*, if HNEI has fewer than five eligible Faculty members, who are available to serve on the PC, then the Dean of SOEST may constitute a Faculty Personnel Committee (FPC) in consultation with the HNEI Director. This ad hoc FPC will be composed of UH-Manoa tenured Faculty with an appointment of 0.25 FTE or greater in HNEI, and additional tenured Faculty members from related disciplines. All members of the FPC shall be tenured members of bargaining unit 07.

If there is conflict between a subsequent *Collective Bargaining Agreement* and these procedures, the *Collective Bargaining Agreement* currently in force shall prevail.

C. All committees formed for review of tenure and/or promotion applications or to conduct annual evaluation and contract renewal shall be convened by a PC member of Rank 5 selected by the HNEI Director. The first order of business for each committee shall be to elect a Committee Chairperson.

D. All committees formed for review of tenure applications or annual evaluation and contract renewal shall be populated with faculty members of rank equal to or higher than the rank of the applicant.

E. All committees formed for review of promotion applications shall be populated with faculty members of rank equal to or higher than the rank sought by the promotion applicant.

F. A single committee satisfying criteria II.D and II.E shall be formed for instances where tenure and promotion are applied for simultaneously.

### III. CONTRACT RENEWAL PROCEDURES

A. Renewal of contracts during the probationary period shall be for one or two-year terms as provided in the *Collective Bargaining Agreement*

B. The HNEI Director will initiate "The Annual Evaluation and Contract Renewal Recommendation" document (hereafter referred to as the "reappointment" document) that provides for a written assessment of the affected faculty member's performance by the HNEI Director and the PC. The HNEI Director shall disclose the completed reappointment document to the faculty member **before** it is forwarded to the Dean of SOEST.

C. A necessary condition for contract renewal is a performance rating of "satisfactory" or better by the PC. A positive assessment of the faculty member's performance by the PC does not necessarily assure renewal of an appointment. A written justification for the continuing need of the faculty member's services within HNEI shall be submitted to the PC by the faculty member's supervisor. The PC's recommendation for renewal or non-renewal of a faculty member's contract shall reflect both its assessment of the faculty member's performance and its assessment of HNEI's future need for the faculty member's services.

D. Non-renewal notices will be issued in accordance with the specified deadlines of the current *Collective Bargaining Agreement*.

### IV. TENURE AND PROMOTION PROCEDURES

A. Candidates will be provided a list of the members of the PC/FPC.

B. The names of all candidates for promotion and/or tenure will be announced to HNEI faculty to allow written input well in advance of University deadlines. Anonymous material will not be considered.

C. The HNEI procedures for promotion and tenure place great weight on individual, objective peer review by acknowledged authorities in the candidate's field of endeavor. Materials will be collected in accordance with the following guidelines.

1. The candidate should provide the HNEI Director and the PC/FPC Chair with a list of at least five respected colleagues in their field of endeavor, who can act as external evaluators for the candidate, and who are not at UH Manoa. An external evaluator should hold the rank the applicant is applying for or a higher one. This list should be provided in writing and also include a brief summary of the contributions of each person to the field of endeavor.

2. It is the obligation of HNEI to secure external evaluations. Applicants should not contact possible external evaluators concerning their willingness to participate.

3. Solicitation of external evaluations by thesis/dissertation advisors of the applicant is discouraged.

4. The HNEI Director, in consultation with the PC/FPC Chair will solicit external letters of support by sending approximately the same cover letter of solicitation to at least five of the external evaluators proposed by the candidate, and at least an equal number to other additional evaluators in the applicant's field, with a goal of achieving an equal number of letters from the two lists. The evaluators will receive a copy of the applicant's current curriculum vitae, and relevant documents (i.e., copies of reprints from major publications, etc.) supporting his research achievements, along with copies of the University's and HNEI's departmental criteria for tenure and promotion.

5. The following paragraph will be included in the letter to external evaluators: "Your review of \_\_\_\_\_ 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 candidate 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."

6. When letters from the external evaluators arrive, they should be marked "Confidential." The letters should not be shown to the candidate at any time.

7. Seven copies shall be made of each letter and eight sets of confidential letters (original plus seven copies) shall be assembled in eight manila envelopes marked "Confidential" with the applicant's name. Each envelope will include a listing of the external evaluators and their institutional and disciplinary affiliations. The list shall indicate whether the external evaluator was selected from the candidate's list or was identified by the HNEI Director, in consultation with the PC/FPC Chair. A copy of the letter sent to the external evaluators shall also be included.

8. One manila envelope shall be included with each copy of the dossier.

9. On page 5.2 of the Institute's Assessment (Section E, Confidential Letters of Evaluation), the PC/FPC Chair shall indicate the number of confidential letters solicited by HNEI, the number of confidential letters received by HNEI, and the list (candidate's/HNEI's) from which the letters were derived. The authors of the confidential letters shall not be identified in this section.

10. A brief letter should be sent to each of the external evaluators informing them of the final decision on the tenure and/or promotion application. The letter shall be sent in the summer following official announcements by the Board of Regents and thank the external evaluators for their efforts on behalf of HNEI, SOEST, and UH Mānoa. In the case of a negative decision, the HNEI Director must confirm with the Mānoa Chancellor's Office that any appeal has been resolved prior to contacting the external evaluators.

11. Independent of the HNEI Director, the PC/FPC Chair may solicit additional letters of evaluation on behalf of the PC/FPC.

- D. Each PC/FPC member will evaluate the candidate's dossier, including the confidential letters from referees. Written comments should be signed, dated, and submitted to the PC/FPC Chairperson. These comments, with names and signatures of external evaluators removed, will be used by the PC/FPC Chair to prepare a written assessment for Part V of the applicant's application form for promotion/tenure.
- E. All final votes will be conducted by secret ballot.
- F. Letters from external evaluators received after the written assessment for Part V is completed and votes are cast will not be entertained.
- G. The dossier will be transmitted to the HNEI Director for a written assessment detailing the strengths and weaknesses of the applicant and potential for the future.
- H. After a final review by the HNEI Director, the dossier, including all attached supporting documents, will be transmitted to the Dean of SOEST.
- I. The HNEI Director's assessment is attached to the SOEST Dean's assessment in accordance with the current *Collective Bargaining Agreement*.

#### V. AMENDMENTS OF PROCEDURES

- A. Members of the PC or the Director of HNEI may propose amendments to this document at any time.
- B. Prior to acceptance, the proposed amendment shall be reviewed and approved by the PC, the Director of HNEI, the Dean of SOEST, Vice Chancellor for Academic Affairs acting for the Manoa Chancellor, and UHPA. Approved amended procedures shall be filed with the Union, the HNEI Director, and the Vice Chancellor for Academic Affairs.

#### VI. CRITERIA FOR PROMOTION

- A. In keeping with its unique mission, criteria for promotion within HNEI emphasize a broad view of scholarship which includes 1) the advancement of knowledge, 2) the application of knowledge, 3) the representation of knowledge, and 4) the integration of knowledge (see the summary of the Carnegie Foundation's special report, *The New American Scholar*, by Ernest Boyer and R. Eugene Rice as attached).
- B. Evidence of the candidate's contributions to the advancement of knowledge will usually include publication of scholarly work in peer-reviewed journals, books, and reports, and regular, active participation in scientific meetings. In judging the significance of these contributions, HNEI emphasizes quality rather than quantity. Although HNEI will accept a citation index as an indication of the candidate's recognition by the candidate's peers, the Institute places greater weight on written letters of recommendation, invitations to present research results at conferences, symposia and lectures, and service on editorial boards and review panels.

1. A candidate for promotion to rank 3 should submit at least one peer-reviewed journal publication or a conference paper for individual review by the PC/FPC. This document should demonstrate the candidate's ability to work at the forefront of their field.
2. A candidate for promotion to rank 4 should submit three peer-reviewed, authoritative publications for individual review by the PC/FPC. These publications should demonstrate the candidate's ability to work at the forefront of their field.
3. A candidate for promotion to rank 5 should submit no more than five, peer reviewed, leading publications for review by the PC/FPC. These publications should demonstrate authoritative mastery of at least one field relevant to the mission of HNEI. The successful candidate will be an internationally recognized authority in their field and has demonstrated leadership abilities within the international community.

C. Evidence of the candidate's contributions to the application of knowledge may include the design, fabrication, and operation of equipment, instruments, or software; the conduct of experiments; patent disclosures and patent applications; consulting; and/or service activities (see I below). The preparation and funding of research proposals also constitute evidence of the candidate's ability to apply knowledge. HNEI expects its faculty to garner substantial funds for the support of their research activities, either as the Principal Investigator (PI) on contracts and/or grants, or as a key technical contributor to contracts and/or grants of other PI's involved in activities relevant to the mission of HNEI.

1. A candidate for promotion to rank 3 will provide a narrative that offers evidence of their contributions to the application of knowledge during their period of employment at HNEI.
2. A candidate for promotion to rank 4 should have an established record of providing financial support which could include, but not be limited to, at least 50% FTE on average of a graduate student or the equivalent during the two years immediately preceding application for promotion.
3. A candidate for promotion to rank 5 should have an established record of providing support which could include, but not be limited to, at least two graduate students (50% FTE on average) or the equivalent during the three years immediately prior to application for promotion.
4. HNEI recognizes that large federal awards may include several intellectual leaders, even though only one individual may be designated as the formal PI. Within this criterion HNEI seeks to distinguish between and recognize the candidate's intellectual leadership of research activities, and the candidate's service to HNEI by administering large grants and contracts.

D. Evidence of the candidate's contributions to the representation of knowledge will include instruction in established University courses and the development of new courses supportive of the mission of HNEI. Advising and training of graduate and undergraduate students, post-doctoral fellows, visiting scholars, and technicians also demonstrate the candidate's ability to convey knowledge to others. HNEI places special emphasis on faculty-student mentoring and seeks evidence for such activities in the candidate's application. HNEI encourages its faculty to involve minority students and women in the Institute's research and educational programs.

1. A candidate for promotion to rank 3 will provide a narrative that describes their contributions to the representation of knowledge during their period of employment at HNEI. The candidate should also present at least one public seminar on the UH campus during the year immediately preceding their application for promotion. It is the duty of all PC members to attend such seminars.
2. A probationary candidate for promotion to rank 4 should teach at least one course prior to application for promotion and provide all course evaluations in the dossier.
3. All candidates for promotion to rank 4 should present at least one public seminar on the UH campus during the year immediately preceding application for promotion. It is the duty of all PC members to attend such seminars.
4. A tenured or probationary candidate for promotion to rank 5 should teach at least two courses prior to application for promotion and provide all course evaluations in the dossier.
5. All candidates for promotion to rank 5 should present at least one public seminar on the UH campus during each of the two years immediately preceding application for promotion.

E. Evidence for the candidate's contribution to the integration of knowledge may include the publication of scholarly review articles, the instruction of cross-disciplinary or multi-disciplinary courses, participation in multi-disciplinary research projects involving specialists from different fields, and/or consulting activities which demand broad, integrated knowledge of more than one field. HNEI encourages its faculty to build international and industrial collaborations which broaden the perspective of the Institute's research programs.

F. HNEI faculty are expected to evidence steady growth in their career within each of the four types of scholarly endeavor listed above. Promotion within HNEI is recognition and reward for a progressively maturing career and not simply a guaranteed result of time-in-grade.

G. Evaluation of the candidate's achievements in the context of each of the four types of scholarly activity listed above will reflect the candidate's assigned responsibilities as outlined in their letter of appointment and associated with the candidate's original contract.

H. In harmony with item G (above), evaluation of the record of candidates enjoying an R appointment will give greatest emphasis to achievements concerning the advancement of knowledge (B above), followed by achievements involving application of knowledge, integration of knowledge, and representation of knowledge (in the indicated order).

I. In harmony with item G (above), evaluation of the record of candidates enjoying an S appointment will give greatest emphasis to achievements concerning the application of knowledge (C above), followed by achievements involving representation of knowledge, advancement of knowledge, and integration of knowledge (in the indicated order). The specialist appointment emphasizes scholarly service activities involving the application of knowledge. Such service includes work on State of Hawaii committees and panels, advising activities to state organizations (such as the Department of Business, Economic Development & Tourism), unremunerated consulting to local businesses, service to national agencies (e.g. National Science

Foundation panels and committees, National Academy of Science panels, etc.), giving testimony or otherwise interacting with the legislative and executive branches of the state and federal governments, and participation in (or leadership of) civic activities involving local citizens and special interest groups whose aims and purposes are closely related to the candidate's professional field of endeavor. HNEI expects all its faculty to regularly participate in routine service activities, such as work on university, school, college, institute, and department committees, editorial work for professional journals, and volunteer work for international, national, and regional organizations which is closely related to the candidate's professional field.

J. In harmony with item G (above), evaluation of the record of candidates enjoying an I appointment will emphasize achievements concerning the representation of knowledge (item D above), the integration of knowledge, the advancement of knowledge, and the application of knowledge. Although the I appointment traditionally involves responsibilities associated with teaching (i.e., the representation and integration of knowledge), it is a fact that the success of a Professor is always measured in the context of research accomplishments, as well as the ability to teach. In light of this fact and the mission of HNEI, when assessing the performance of its I faculty, HNEI gives equal emphasis to the four types of scholarly endeavors (items B, C, D, and E above).

#### VII. CRITERIA FOR TENURE

A. The tenure evaluation aims to determine whether indefinite retention of the candidate is in the best interest of the Institute. Tenure is granted only to those candidates whose record of scholarly achievement justifies the expectation that their lifelong retention will strongly benefit the overall research and educational goals of the Institute.

B. HNEI seeks evidence for steady growth in evaluating the candidate's application for tenure. Simple continuation (albeit highly successful) of the candidate's Ph.D. or post-doctoral research activities is not evidence of the growth expected of a tenure applicant. The successful applicant will have broken new ground in their field of endeavor, as evidenced by peer-reviewed publications, patents, invited lectures, consulting activities, and other forms of peer recognition.

C. In addition to items A and B above, the criteria for promotion to rank 4 (above) will be applied to applicants for tenure.

#### VIII. LIMITED-TERM APPOINTMENTS

A. Faculty on limited-term appointments shall be appointed to positions for a specific time period only, regardless of how the position is funded. The same evaluation and recommendation process shall be followed as described above for probationary faculty.

B. The HNEI Director will issue notices of non-reappointments in accordance to the specified deadlines of the BU 07 contract.