

DEPARTMENTAL CRITERIA FOR TENURE AND PROMOTION
DEPARTMENT OF OCEANOGRAPHY
UNIVERSITY OF HAWAII AT MANOA
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Preamble: Minimum qualifications for tenure and promotion as defined by the University (as approved on July 24, 1987 by the Board of Regents) apply in all cases. The Department's criteria are additional to the minimum qualifications of the University.

I. Basic Faculty Performance

It is expected that each faculty member will find the mixture of research, teaching, and service that best suits his/her abilities and inclinations. However, unless specifically employed to do otherwise each faculty member will do all of the following:

- A. Conduct scientific research relevant to oceanography 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 evaluation of students and through assisting student research.
- D. Participate in the functioning of the Department and its programs.

II. Criteria for Recommending Tenure

A tenure recommendation will rest on both the performance of the candidate and the goals of the Department.

- A. The candidate shall have met the basic performance criteria in Section I.
- B. A necessary condition is that an Assistant Professor's performance in this Department will have justified his promotion to Associate Professor as that rank is described in Section III.
- C. A necessary condition is that an Associate or Full Professor will have performed, while in this Department in a manner consistent with the description of the rank in which he is to be tenured (description in Section III).
- D. The tenure review process is to decide whether indefinite retention of the candidate is in the best interests of the Department. Here are considered such things as the candidate's attitudes towards his/her work and towards students and fellow faculty

members, and the likelihood that his/her professional future will be valuable to the Department and the University. It will be considered whether tenuring the candidate will best serve the overall research and educational goals of the Department, and whether the Department might benefit more by keeping the position open for the recruitment of new people. Thus, while a candidate's performance should be excellent, there is no recipe or sequence of steps by which a person can assure himself/herself of tenure.

III. Qualification for Promotion to Associate and Full Professor Ranks

The following descriptions tell what is generally expected of persons who are promoted to or tenured in the ranks of associate or full professor:

- A. Associate Professor. The candidate will have met the basic performance criteria of Section I. In addition, he/she will have shown excellence in education, research, or some combination of these together with service.
 1. Excellence in education is characterized by producing extraordinary value for students. As examples, it might be evidenced by:
 - a. Course evaluations (Section IV. D. gives Departmental policy on course evaluations) showing that students feel the candidate's courses are of exceptional quality.
 - b. Student's testimony that the candidate has been especially valuable and helpful to them as an advisor or committee member.
 - c. 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.).
 2. Excellence in research is characterized by a high rate of production of significant work published in refereed journals.
 - a. Rate and significance are assessed by the peer group (the Department Personnel Committee, which in turn solicits opinions from scientists 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 Oceanography, 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.

- b. It is expected that the results obtained from a faculty member's work will be published in refereed journals.
 - c. The ability of a faculty member to obtain research funds from agencies utilizing the "peer group review procedure" will also be considered.
 - d. 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.
3. Service is unremunerated professional effort given to the Department, the University, or the community at large.
 - a. Service to the Department is effort beyond committee membership or small, routine duties.
 - b. 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.
 4. As stated above, the associate rank implies excellence in education, research, or a combination of these together with service. Although the faculty member may neglect none of these areas (see Section I), he/she is free to choose his/her own major endeavors. Qualification will mean the candidate's performance is more than adequate in each area and when considered as a whole can be classified as excellent.
- B. Full Professor. This rank will be recommended as a consequence of the stature and recognition which a faculty member has earned beyond the confines of the Department.

1. 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.
2. 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 scientists 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 stature--such as certain journal editorships, chairmanships or important scientific 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.
3. 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.

IV. Evaluation of Multiply-Authored Work

The following is an addendum to the departmental criteria for tenure and promotion:

From its members who have served on college and university personnel committees, the Department has learned that at these levels there is a tendency sometimes to raise certain questions:

- If a candidate's bibliography contains only singly-authored papers, does this show lack of involvement with students or an inability to cooperate productively with other scientists?

-If a candidate's bibliography consists almost totally of multiply-authored papers, does it reflect a lack of independent creativity?

Of these extremes, the second would be regarded as more serious, and particularly in relation to promotion to full professor.

At the departmental level, the first of these questions has not been a concern for the DPC because cooperation among scientists often arises in our field and because co-authorship with students is encouraged and widely practiced. However, the second question is a concern, and the DPC feels that certain points need to be made:

A. When assessing cooperative research in relation to a candidate's individual creativity, the DPC focuses on the candidate's own specific contributions to such projects. The committee does not merely assume that credit for intellectual creativity belongs to all co-authors of a paper or to all members of a research team.

B. Individual contributions to scientific projects are generally of two types:

-Scientific support functions: data collection, laboratory analyses, computations, etc.

-Intellectual creations: ideas, insights, and syntheses that produce new understanding or new methods or tools of study.

Contributions of the first type can establish a person's high level of knowledge, effort, and technical skill. Those of the second type establish a person's creativity and lead to his thoughts having a direct influence on his field.

C. The DPC feels that all faculty members need to have intellectual creations in their records. But beyond this, when a faculty member is seeking to establish full-professional stature on the basis of research, an impressive case for intellectual creativity needs to be present. This is not because support-type activities are not legitimate and valuable contributions to science; it is because such activities do not contribute to professional stature as the term is defined by the Department (and by higher review levels as well).

D. The faculty member should establish explicit evidence for individual, intellectual creativity. Two useful types of evidence are:

1. Occasional publication of one's own ideas alone or with perhaps a single co-author.

2. Testimony from co-authors of a group publication attributing particular intellectual contributions to the candidate.

Further, and very important: When background data or supporting testimony is needed to establish the significance of an item in the faculty member's bio-

bibliography (as with 2 above), the individual should see that he/she or the DPC attends to it in the years prior to his/her candidacy for tenure or promotion. This is because such data collection can often take more time than the DPC will have during the formal evaluation process.

- E. When a candidate's grant support is being viewed for evidence of intellectual creativity, the same basic ideas apply. Higher value is attached to instances where the individual's good ideas were directly responsible for funding in a competitive area. At the other end of the spectrum, little credit for intellectual creativity is attached to receiving funds for carrying out projects specified by agencies or institutions.

V. Procedure for Personnel Action

- A. The Personnel Committee. The Department Personnel Committee (DPC) will be chosen at the end of the spring semester. All available department faculty will vote for five department members on a secret ballot. The DPC will consist of the five receiving the highest number of votes, subject to the following constraints:
 - 1. If they are available, the chairperson and one other member of the previous year's DPC will be on the committee.
 - 2. The Department Chairperson may not be on the DPC.
 - 3. The New Chairperson will be elected by the DPC at the first meeting.
 - 4. The vote tally will be used to name two substitute members for the committee.

At least three members must be present when the DPC takes action on any personnel matter.

- B. Open announcements. When the Department Personnel Committee is going to consider cases of promotion, or tenure, it shall announce these cases in advance to the faculty and students of the Department, inviting input.
- C. Materials used by the Department Personnel Committee.
 - 1. The Department Personnel Committee may collect and consider whatever materials it sees fit in any personnel action. It will also consider any materials which a candidate wishes to present in support of his/her case. However, it is the responsibility of the faculty member alone to keep his/her personnel records up to date, and to save, collect and present to the Department Personnel Committee any specific materials he/she wants to have considered.
 - 2. The Department Personnel Committee may solicit letters of opinion from any source it sees fit. It will also solicit such letters from any reasonable number of sources named by the candidate.

D. Voting Procedures

The Department Personnel Committee (DPC) will prepare the cases and preliminary DPC recommendations for all personnel actions involving tenure or promotion decisions and call a meeting of the faculty for the purpose of discussing the cases. All Departmental Faculty (except the applicant and the Department Chairperson) will be allowed to attend and participate in these discussions. Only tenured faculty (except the Department Chair) may vote on applications for tenure. For applications for promotion, the eligible voting faculty will be the Departmental Faculty (excluding the Department Chair) who hold equivalent or higher rank than that sought. The eligible faculty will vote by written secret ballot, giving absentees also an opportunity to vote. The vote of the eligible faculty will be the official DPC vote recorded on the promotion and tenure application forms. Following the vote tally, the DPC will prepare an initial recommendation that reflects the discussion and the vote.

E. Teaching Evaluations

Course evaluations are important to the Department in its efforts to see that its students are well served. The evaluations are also the most important and effective form of evidence the Department Personnel Committee can have where it cites teaching performance in recommending a personnel action. Graduate courses in the Department will be evaluated each time they are taught.

The faculty will elect three members of a Teaching Evaluation and Curriculum Committee, who collectively must represent expertise in the areas of biological, physical and geological/chemical oceanography. Terms will be for three years and will be staggered, with one member replaced at the beginning of each academic year. In addition, a student member of the committee will be elected by the Oceanography Graduate Student Organization, Na Kamakai, at the beginning of each academic year.

At the end of each semester, this committee:

1. Will insure that existing Departmental course evaluation procedures are carried out in all courses, will discuss the results with the individual instructors, and will circulate evaluation summaries to the faculty and to Na Kamakai. Instructors will have the option of appending their own comments to the summaries being circulated.
2. Will review the content of required courses which were taught in the semester just ended, and will make any necessary recommendations for improvement. The committee may gather materials and solicit advice as required to evaluate a course's breadth of coverage, level of treatment, currency of material, and integration with other courses.

3. Will maintain a current course-content notebook in the Department office, available to students and faculty; will insure that instructors of required courses know the current recommendations on course content; and will keep the whole faculty apprised of its work.
4. Will take special note of any course in which a problem with teaching effectiveness and/or content is identified, and will work with the Department Chair and the instructor to try to bring about the desired improvements. Failing such improvement, the committee may bring the case to the faculty as a whole, with recommendations for changes in teaching assignments.

F. Disclosure and Rebuttal

1. A candidate will be shown (upon request) copies of the initial recommendations of the Department Personnel Committee and the Department Chairperson before they are sent out of the Department.
2. A candidate may offer a rebuttal to the Department Personnel Committee and/or Department Chairperson after reading their respective recommendations.
3. The Department Personnel Committee and/or Department Chairperson may act on a rebuttal in whatever manner they deem appropriate to the individual case. Upon request, the candidate will be given copies of final recommendations after any reconsiderations have taken place.
4. The Department faculty may approve an exchange of recommendations between the Department Personnel Committee and Department Chairperson. (According to college policy, however, the Department Chairman still retains the option of withholding his/her recommendation from the Department Personnel Committee.)

G. Responsibility for Correction of Procedural Errors

1. Copies of this document will be kept available in the Department office, and it is the responsibility of each faculty member to be aware of its existence and content.
2. The purpose of this document is to provide guidance on the manner of conducting personnel matters, and not to be a source of grounds for grievance actions. Each faculty member should make sure that personnel procedures affecting him/her are in fact conducted consistently with this document.