

APPROVED:

James D Kardash 4/1/2019
 UHPA Date

APPROVED:

Manoa Chancellor's Office 4/1/19
 Manoa Chancellor's Office Date

**DEPARTMENT OF PSYCHIATRY
 JOHN A. BURNS SCHOOL OF MEDICINE, UNIVERSITY OF HAWAI'I AT MĀNOA**

**Guidelines and Procedures for
 Tenure and Promotion, Contract Renewal, and Recommendation of Department Chair**

All of the stated criteria and procedures below abide by the Articles of the *2017-2021 UH-UHPA Agreement* related to tenure, promotion, contract renewal, and recommendation of department chair.

1. DEPARTMENT CRITERIA FOR PROMOTION AND TENURE

- **Additional Guidelines:** The Department of Psychiatry (DoP) recognizes that, to qualify for promotion &/or tenure, a faculty member's achievements and value cannot be captured completely in only quantitative terms, such as in setting a cut-off for the number of national and international scientific peer-reviewed journal articles published. The faculty member's entire dossier must be evaluated in terms of both quantity and quality (e.g., scientific impact, journal caliber) AND within the context of the DoP's job requirements/expectations (e.g., heavy administrative, clinical, &/or teaching load; funding & release time for scholarly work/research; FTE %), rank being sought (i.e., Assistant, Associate, Full), resources available, and so on. It should be noted that the Department of Psychiatry is a clinical department within the John A. Burns School of Medicine (JABSOM), and thus entails considerable teaching and training with direct patient clinical contact/care and at clinical sites, such as hospitals and community clinics.^{1,2}
- **Authorship:** Authorship and the order of authorship for such activities/products as scientific peer-reviewed journal articles, book chapters, books, technical reports, and other dissemination efforts will be based on the presumed amount of "significant contribution," with the first author presumed to contribute the most to the activity/product, and the last author presumed to contribute the least to the activity/product. This presumption may not be always true when the first author was from another department and/or discipline. If this presumption was not true for a given dissemination effort (e.g., the last author was the "senior" author who significantly contributed more effort than

¹ For example, Faculty A may be qualified for advancement without maintaining 1-2 first-authored scientific peer-reviewed journal articles on average per year because he/she was required by the DoP to have a heavy administrative/clinical/teaching load, and thus, had minimal time to engage in scholarly work/research, he/she was applying to the Associate Professor Rank under the Instructional-Medicine ("I-M") Series, and can collectively demonstrate a regional reputation and a beginning national/international reputation (established national/international reputation for Full Professor) based on the I-M Series criteria (e.g., non-first/co-authored peer-reviewed articles, academic conference presentations/posters, academic boards/committees, participation in research studies, lead for training/research grants/contracts).

² On the other hand, Faculty B, with a few first-authored scientific peer-reviewed journal articles in low-impact journals, may NOT be qualified for advancement because he/she had relatively minimal DoP administrative/clinical/teaching requirements, had a relatively substantial amount of time to engage in scholarly work/research, was applying to the Full Professor Rank under the regular "I" Series, and was not able to demonstrate a national/international reputation.

the second author), then this distinction should be clearly indicated in the dossier by the applicant to clarify such an exception. It is understood that for presentations and posters, an additional contributing factor that will be weighed is who is doing the actual presentation.

- **Research Project Leadership and Extramural Grants/Contracts:** A demonstrated ability to lead a training &/or research project/program will enhance meeting the promotion/tenure requirements, especially when applying to the Professor rank and involving a major training &/or research project/program. For clarification, extramural grants/contracts will also enhance meeting promotion & tenure requirements, especially grants/contracts that are competitively awarded (e.g., National Institutes of Health [NIH]), and/or demonstrate clear scientific &/or applied significance. However, lack of extramural grants/contracts *per se* will not detract from the applicant's qualifications, when otherwise demonstrated.
- **Faculty Series:** The DoP will follow JABSOM's guidelines/criteria for the determination of the faculty series (i.e., [I]nstructional, [R]esearch, [S]pecialist, [I-M]Instructional-Medicine).

2. DEPARTMENT PROCEDURES FOR PROMOTION AND TENURE

- **Timeline:** The DoP will comply with UH and JABSOM's procedures for the orderly review of dossier(s).
- **DPC Appointments:** All DoP faculty members of Bargaining Unit 07 will be invited to be a member of the Department Personnel Committee (DPC) and participate in its respective discussions. The DPC (committee) Chair will be elected by the DPC members. The DoP (departmental) Chair will not be a member of the DPC, and will neither deliberate with nor influence the outcome of the DPC's evaluation.
- **DPC Composition and Voting Requirements:** All DPC members regardless of rank or tenure-status may participate in providing feedback (e.g., via DPC deliberations) on the applicants applying for promotion and/or tenure. However, based on the *UH-UHPA Agreement*, there must be at least five (5) DoP voting faculty members of Bargaining Unit 07. DPC members who will vote on tenure applications must be tenured faculty members. DPC members who will vote on promotion applications must be at or above the ranks that are being sought by the applicants. The applicant can exclude up to one DPC voting member (including the DPC Chair) from the DPC regarding his/her application. In the event that there are not enough DoP DPC members meeting the requirements (see above), the application(s) will be reviewed by a qualified Faculty Promotion Committee convened using supplemental Bargaining Unit 07 faculty members chosen by the Dean from a list provided by the DoP Chair.
- **DPC Chair and Committee Terms:** The DPC Chair shall serve a 3-year, annually renewable term that will begin July 1 through June 30 of each fiscal year. The 3-year term may be extended if there are no other eligible members able/willing to be DPC Chair.
- **External Reviews/Referees:** External referees must be at the rank or higher for which the applicant seeks. The external referee(s) will be prominent in their field of specialization and similar to the area of the applicant where reasonably possible. The applicant will submit up to 5 names of potential external reviewers for the DoP Chair to consider, and the DoP Chair will submit an additional minimum of 3 names, which may overlap with the 5 provided by the applicant when the DoP Chair deems the individuals to be appropriate for the review. With the goal of at least 4 external reviewers' evaluations being received with comparable numbers from the applicant's list and the DoP Chair's list, should more names be needed (e.g., due to declines, non-responses), the DoP Chair will add additional names. Letters will be solicited by the DoP Chair or DPC Chair. These letters will include language requesting that the external reviewer state any personal or professional relationship with the applicant to assess and weigh potential conflicts of interest. Materials that will be sent to the external referees will include the applicant's curriculum vita (which may be accompanied by a summary of accomplishments &/or Statement of Endeavor to supplement the vita), a copy of the applicant's relevant publications, and where applicable, a copy

of the abstract of the applicant's funded grants/contracts.

- **DPC Evaluation and Voting:** The DPC will evaluate the applicant's dossier and materials based on the guidelines set by the DoP Procedures, and by criteria set by JABSOM and UH. DPC members who are eligible to vote regarding promotion &/or tenure must vote for or against promotion &/or tenure; "abstain" will not be a choice. DPC members who are eligible to vote regarding promotion &/or tenure, but who are somehow conflicted (e.g., have a conflict of interest), must recuse themselves from the discussion and vote. The DPC voting members will vote by secret ballot for all final votes. The majority will carry the DPC's recommendation decision. With majority approval by the DPC members, the DPC Chair will submit a final written assessment report to the DoP Chair that will include a summary of the evaluation and the number of votes for and the number of votes against promotion/tenure.
- **Late Materials:** All required documents must be in the applicant's dossier prior to the final meeting of the DPC. Any exception to this must be agreed upon by the DoP Chair, DPC Chair, and applicant. However, "late" external reviewer letters can be added without approval from the applicant.
- **Informing the Applicant:** The DoP Chair may counsel the applicant prior to forwarding the application to the Dean.
- **DoP Chair's Evaluation:** The DoP Chair will submit a final written assessment report to the JABSOM Dean that will be a separate evaluation based on the applicant's dossier, external referees' letters, and DPC's report.
- **Revisions to the Procedures:** These procedures will be reviewed periodically. Recommendations for revisions will be forwarded to the JABSOM Dean for appropriate approval procedures at the UH Chancellor and UHPA levels.

3. DEPARTMENT PROCEDURES FOR CONTRACT RENEWAL

- The DoP Chair and DPC Chair will evaluate faculty candidates up for renewal, and recommendations will be made to the Dean. The evaluation will consider performance input from supervisors (e.g., where applicable from DoP Associate Chairs for each of the DoP Divisions [i.e., Education/Training, Clinical Services, Research, Administration/Business], DoP Program Directors, DoP Directors of Medical Education & Patient Care (DMEPC), DoP Principal Investigators). For this purpose of contract renewals, the DoP Chair and DPC Chair will be tenured. Results of the evaluation will be transmitted to the candidate by the DoP Chair or designee. The candidate may request clarification, including areas of improvement.
- For tenure-track probationary faculty, Article XII (Tenure & Service) will be followed.

4. DEPARTMENT PROCEDURES FOR RECOMMENDATION OF DEPARTMENT CHAIR

- Faculty assessment and recommendation of the DoP Chair will be determined through a secret ballot of DoP faculty members of Bargaining Unit 07. A reasonable attempt will be made to survey each Bargaining Unit 07 faculty member. The collection of the ballots will be overseen by the DPC Chair and the results will be conveyed to the JABSOM Dean by the DPC Chair. These results will include the number of votes for, number of votes against, number of abstentions, number of those who did not vote, and any relevant comments if any. The larger of the first 2 numbers will determine the recommendation to the JABSOM Dean. This will occur within each fiscal year. It should be noted that these faculty assessments and recommendations will be neither elections nor appointments for the DoP Chair.