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VICE CHANCELLOR FOR ACADEMIC AFFAIRS

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MEMORANDUM

OFFICE OF THE DEAN
COLLEGE OF ARTS & SCIENCES
HILO, HAWAII

TO: ✓ Ellen Boneparth - Dean, CAS
John Anthony Fernandez - Dean, CCECS
Jack Fujii - Dean, CAG
Alan Yang - Dean, OSS
Kenneth Herrick - Director, UHH Libraries
Robert A. Fox, CAS Faculty Senate Chair
Sheldon Furutani, CAG Faculty Senate Chair
Bill Chen, Chair Natural Sciences
April Komenaka, Chair Social Sciences
Robert Stack, Chair Business Administration & Economics
Jan Zulich, Chair Social Sciences
David Miller, UHPA Representative

FROM: Jeff Crane *Jeff Crane*
Acting Vice Chancellor for Academic Affairs

SUBJECT: FACULTY EVALUATION PROCEDURES

We have finally reached closure on establishing a procedure for evaluating faculty. Thanks to the good work of David Miller, J.N. Musto, and the UH-Hilo faculty UHPA representatives, the attached document has been approved and its procedures will be implemented beginning next academic year. In the interim, evaluation criteria will have to be developed by the various departments and units. I would appreciate your overseeing this process.

I will be getting back to each of you early next term to develop a list of faculty who will be up for evaluation. If you have any questions about this process, please do not hesitate to contact either David Miller or myself.

c: Kenneth L. Perrin, Sr. VP and Chancellor

attachment

UNIVERSITY OF HAWAI'I AT HILO
FACULTY EVALUATION PROCEDURES
December 17, 1993

Board of Regents Policy Section 9-15 establishes guidelines for the periodic evaluation of faculty members (in this document, the term "faculty" includes all instructional, librarian, research and specialist personnel in Unit 7 at UH-Hilo.) These guidelines set forth the review procedures which must provide for: safeguards of academic freedom, participation of faculty peers in the review process, the evaluation of every faculty member at least once every five years, and exemption for faculty members who have undergone a review for reappointment, tenure, promotion, or who have been evaluated for a merit salary increase during the past five-year period.

PREAMBLE ,

Evaluation can be a positive force when used to encourage all faculty members in the University community to continue their professional growth and thereby improve the delivery of professional services to the students, the university and the community. Faculty development must be proactive as well as reactive. In addition to providing for the development of faculty found to be performing below the established standards, sufficient funding must be provided to encourage and support quality teaching, scholarship, and other professional activities appropriate to faculties' fields of endeavor. In view of the physical isolation of Hilo, this should include, among other items, funds for travel to professional meetings. To this end, a UH-Hilo Faculty Enhancement Fund (FEF) must be established, for the enhancement of faculty determined to be performing below established standards. This fund will be in addition to the Faculty Development Fund which already exists to support ongoing faculty development.

The evaluation of faculty, however, must support the concepts of academic freedom and tenure, which are essential to the University. There is a presumption of competence on the part of each tenured faculty member. The evaluation process discussed herein, therefore, will have no impact on an individual faculty member's tenured status.

The review undertaken within the evaluation process must consider the nature of the faculty member's field of work and must conform to fair and reasonable expectations as established by faculty peers in each Department (or College in the case of the College of Agriculture and the College of Continuing Education and Community Service, and Unit in the cases of the Library and the Office of Student Services). Hereafter the term Department will be used to designate all three.

PROCEDURES

1. The UH Faculty Handbook (1977 edition) provides general statements concerning the duties and responsibilities (as well as the minimum qualifications for each class and rank) of faculty of the University of Hawaii at Hilo. To complement these statements, each Department will develop statements. They may of course adapt such statements from existing sources specific to their Department - statements that make clear the range and level of professional activities that may reasonably be expected of faculty in each rank. These expectations, whether contained in the UH Faculty Handbook or specifically developed by the faculty of a Department, must be brought by the Department Chair, Director, or Dean to the attention of all faculty in the unit, especially new members.
2. A copy of each department's faculty performance expectations will be filed with the Vice Chancellor for Academic Affairs and with the Dean of the appropriate college or the Director of the appropriate unit. Once established, changes to this document must be made in consultation with the Vice Chancellor for Academic Affairs and the University of Hawai'i Professional Assembly. All such changes must be filed with the appropriate offices and distributed to all departmental faculty one full academic year prior to their implementation.
3. In those rare instances where faculty cannot agree on a set of performance expectations, the Vice Chancellor for Academic Affairs or designee and a representative appointed by the University of Hawai'i Professional Assembly will work with the faculty to draft a set of expectations.
4. Faculty members are in the best position to know the full range of their professional activities. Faculty who are to be reviewed will prepare an up-to-date curriculum vitae, or other academic profile appropriate to their field of endeavor, which addresses departmental expectations. This document must include information on their teaching, scholarship, service, and other professional activities, as appropriate to their classification and field of endeavor. This should be considered part of the routine collection of information for use by the university community, as well as the providing of information on achievements to the larger community.
5. Before the close of each academic year, or May 15th, whichever is earlier, the Vice Chancellor for Academic Affairs or designee will develop a list of faculty members whose performance has not been reviewed for purposes of contract renewal, promotion, tenure, or a merit salary adjustment during the preceding five years. In addition, the Vice Chancellor for Academic Affairs or designee will notify the

relevant Department Chairs, Deans, and Directors of this list. Faculty members whose names are placed on this list are those who are due to have their professional activities reviewed during the coming academic year. By September 1 of each year the Department Chair will notify those faculty members who are due for evaluation and will request from them an academic profile and any additional information (concerning, for example, work in progress or activities scheduled for the year) that the faculty member would like brought to the attention of those reviewing her/his professional activities. All such information should be in the hands of the Department Chair by December 1st of the academic year in which the review is to be conducted.

Faculty who will be on sabbatical or other leave during the academic year in which they are scheduled for evaluation will have the review deferred until their return from leave. Faculty who are subject to evaluation in the same year in which they are applying for promotion will be evaluated through the promotion process, rather than this process.

6. For faculty members providing instruction at more than one campus, their review will be confined to the campus on which they occupy a tenure-line appointment or the campus on which they have primary teaching responsibility.
7. Faculty who expect to retire within eighteen months of their scheduled evaluation date will be exempt from evaluation provided that they submit an official notification of retirement, with termination dates, to the Vice Chancellor for Academic Affairs.
8. At UH-Hilo each CAS Department will form a Department Personnel Committee (DPC) of no fewer than three tenured and/or tenure-track members. If a Department has two or more members eligible for evaluation in a single year, one or more members may, with the consent of the Vice Chancellor for Academic Affairs or designee, have their evaluation postponed for one year. Departments which find that they cannot put together a committee from their own faculty must select one or more faculty from an academically related department.
9. In the College of Agriculture, College of Continuing Education and Community Service, Office of Student Services and the Library, the College or Unit Personnel Committee will review the file or dossier of each faculty member scheduled for evaluation. When that committee determines that the professional activities of the faculty member meet the expectations established by the faculty of the Department, the Committee Chair will so inform the faculty member, the Dean or Director, and the Vice Chancellor for

Academic Affairs. Upon such notification, the review process will be completed. This process will be completed no later than March 15th.

10. In the College of Arts and Sciences, when the Department Chair determines that the professional activities of the faculty member meet the expectations established by the faculty of her/his Department, the Department Chair will so inform the faculty member, the Dean, and the Vice Chancellor for Academic Affairs. Upon such notification, the review process will be completed. The process will be completed no later than March 15th.
11. If the Department Chair concludes that the professional activities of the faculty member do not meet the expectations established by the faculty of the Department or Unit, the Department Chair will send the file or dossier and his/her recommendation to the Department or Unit Personnel Committee.
12. When the Department or unit Personnel Committee determines that the professional activities of the faculty member meet the expectations established by the faculty of her/his Department, the Committee Chair will so inform the faculty member, the Department Chair, the Dean, and the Vice Chancellor for Academic Affairs. Upon such notification, the review process will be completed. The process will be completed no later than March 15th.
13. When the Department or Unit Personnel Committee determines that the professional activities of a faculty member do not meet the expectations as established by the faculty member's Department or Unit, the Chair of the Personnel Committee will meet with the faculty member and the Department Chair to develop a mutually agreeable Professional Development Plan (PDP) for meeting departmental expectations. The PDP will provide a means by which the faculty member can meet expectations in a systematic manner over a specified period of time.

Contents of a Professional Development Plan

- a) identification of deficiencies,
- b) objectives to address the deficiencies,
- c) specific activities to implement the plan,
- d) time lines for meeting expectations,
- e) a process for annual progress review,
- f) sources of funding (if required.)

Faculty may, if they wish, consult with the UH-Hilo Faculty Development Committee (FDC) for advice in drafting the Plan (see FACULTY DEVELOPMENT PROGRAM, below.) The PDP will be signed by the faculty member, the Department Chair and the Personnel Committee Chair. The Dean or Director, and the Vice Chancellor for Academic Affairs will be given a copy of the PDP. The process will be completed no later than April 15th.

13. Where such a PDP cannot be agreed upon, or where the faculty member does not concur with the determination of the Personnel Committee, the Dean will attempt to mediate the matter and arrive at a new or revised PDP that is acceptable to the faculty member and the Personnel Committee.

14. A Faculty Evaluation Review Committee (FERC) will be established to adjudicate those instances where there remains disagreement on whether the professional activities of the faculty member meet reasonable expectations as established by the Department or Unit. The FERC will consist of three faculty members chosen from among the tenured or emeriti faculty of UH-Hilo with the Vice Chancellor for Academic Affairs serving as a non-voting Chair of the committee. The FERC membership will be formed by the following appointments:

- 1 by the faculty member under evaluation**
- 1 by the Dean of the appropriate college/unit**
- 1 by the Vice Chancellor for Academic Affairs**

The FERC will review the question, meet with the faculty member and Personnel Committee Chair, and make adjustments and recommendations. The FERC recommendation will be submitted in writing to the Vice Chancellor for Academic Affairs and the faculty member within thirty (30) days after the date on which the FERC was first convened.

15. In those cases where the FERC decides that the faculty member is meeting reasonable expectations as established by the Department or Unit, this decision will be reported in writing to the faculty member, the Vice Chancellor for Academic Affairs, the Dean, the Personnel Committee Chair, and UHPA. Upon such notification the review process will be completed.

16. In those cases where the FERC decides that the faculty member is not meeting reasonable expectations, the decision will be reported to the faculty member, the Vice Chancellor for Academic Affairs, the Dean, the Personnel Committee Chair, and UHPA. After receiving the FERC's decision, the Vice Chancellor for Academic Affairs, the faculty member, and the UHPA representative will develop a Professional Development

Plan (PDP) that will enable the faculty member to address those areas that need to be strengthened. This process will be completed no later than May 31st.

17. Cases in which there is failure to accept the approved plan by May 31st will be referred to the Dean or Director for appropriate action. Absence of a plan itself is not a deficiency, rather failure to meet established expectations constitutes the basis for appropriate action.

FACULTY DEVELOPMENT COMMITTEE

18. The UH-Hilo Faculty Development Committee is composed of faculty members and/or emeriti faculty with an established record of expertise and helpfulness to their colleagues. The interaction of the Committee with faculty members is intended to be positive and supportive. All members will be mutually agreed upon by the Vice Chancellor for Academic Affairs of University of Hawai'i at Hilo and the President of the University of Hawai'i Professional Assembly.

The UH-Hilo Development Committee will assist with the implementation of the professional development plans. The Committee will

(a)

provide peer review of requests to the Faculty Evaluation and Development Fund for funding of approved Plans.

(b)

if requested, work informally with the faculty member to develop ideas and strategies for the plan previous to discussion with the Department and Personnel Committee Chairs.

(c)

work with the Vice Chancellor for Academic Affairs in arriving at a mutually satisfactory funding and/or resource arrangement to support faculty development plans.

19. Plans developed by faculty members in consultation with the Chairs of their Departments and Personnel Committees and their deans, or the UH-Hilo Faculty Development Committee may call for a variety of activities that require special resources, e.g. leaves of various types, attendance at special workshops or institutes, assistance in the preparation of

grant applications, availability of computer hardware or software or training in the use of the same, or special assistance in new approaches to teaching. Successful plans will require both initiative on the part of the faculty member and the assurance that every effort is made to provide the necessary support from available University resources through Department, College, and the Office of the Vice Chancellor for Academic Affairs.

OVERSIGHT & CONTINUING EVALUATION

20. Supervision of faculty evaluation and development will be in the Office of the Vice Chancellor for Academic Affairs, which will provide staff support to the Faculty Evaluation Review Committee. To monitor evaluation procedures and their implementation, and to furnish continuing direction and guidance, representatives from the leadership of UHPA will meet at least twice each year, and at the request of either party.

Jeffrey L. Crane, Ph.D.
Acting Vice Chancellor
for Academic Affairs

(date)

**Flow Chart of Five-Year Evaluation Process
at UH Hilo**

