

Prepared by the Office of the Executive Vice President for Academic Affairs/Provost.

This replaces Executive Policy E9.203 dated October 1981.

UNIVERSITY OF HAWAI'I

October 2013

EXECUTIVE POLICY - ADMINISTRATION

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E9.203 Evaluation of Board of Regents Appointees

I. Introduction

This Executive Policy directs implementation of Section 9-12 Part IV Executive and Managerial Personnel Policies, and Section 9-13, Evaluation of Board of Regents Appointees, of the Board of Regents Policies. This policy provides for the systematic evaluation of the performance of the faculty and other professional staff of the University of Hawai'i and calls upon the appropriate administrative offices of the University to define the specific procedures for implementation.

II. Objectives

The objectives of this Executive Policy are to:

- (1) Delegate to the University Chancellors and the Vice President for Community Colleges, on behalf of the community college system, responsibility for development of faculty evaluation procedures in consultation with the faculty governance organization and the exclusive collective bargaining representative. The Vice President for Community Colleges will also consult with the community college chancellors when developing the CC's faculty evaluation procedures.
- (2) Delegate to the Executive Vice President for Academic Affairs/Provost responsibility for development of systemwide procedures to be used in evaluating Administrative, Professional, and Technical (APT) employees.

- (3) Specify the procedures to be used in evaluating faculty in programs which do not have approved procedures in accordance with this policy.
- (4) Establish guidelines for the evaluation and review of executive/managerial (E/M) personnel.

III. Policies

- (1) Faculty review procedures will be developed and maintained by the University Chancellors for their respective campuses and by the Vice President for Community Colleges on behalf of the community colleges system, in consultation with appropriate faculty governance organizations as specified in Section 9-13 of the Board of Regents Policies and the exclusive collective bargaining representative.
- (2) Procedures for review of Administrative, Professional and Technical (APT) employees will be maintained for systemwide application by the Executive Vice President for Academic Affairs/Provost in consultation with the exclusive collective bargaining representative.
- (3) For those campuses/programs which do not have an approved faculty evaluation procedure, faculty will be evaluated using the procedures indicated below. These will continue in effect until such time as procedures developed in accordance with Section 9-13 are approved for the campus/program.
- (4) In July of each year, executive/managerial personnel shall prepare a statement of professional and administrative objectives for the coming academic or fiscal year. The statement shall include areas of improvement and accomplishments intended. Their objectives should relate to long term strategic goals and objectives which are discussed as a basis of incremental plans. The statement will serve as a basis of a conference during which the executive or manager and their supervisor will agree on the year's management objectives in relation to long term goals.

Prior to the end of the rating period, each executive/managerial appointee shall provide a written report to their supervisor concerning accomplishments

in relation to the mutually agreed upon plan and any other achievements of the year. A discussion of the report and self-assessment will follow. The supervisor shall recommend to the next level of administrator a rating of the E/M in accordance with the criteria and rating categories promulgated by the President.

Each vice president and chancellor shall, in turn, provide to the President an assessment of their respective executive/managerial personnel. At a minimum, an evaluation shall consist of a written report recommending the rating of each individual's performance as "outstanding," "superior," "satisfactory," or "unsatisfactory." The President retains authority to determine the final annual performance rating of all E/M personnel.

IV. Administrative Procedures for Faculty Review

- (1) These procedures are applicable to campuses/programs which do not have procedures approved under Section 9-13 of the Board of Regents Policies.
- (2) The Chancellor, Vice Chancellor, Dean, or administrative head of each college or comparable organizational unit shall develop a schedule to evaluate all faculty who have not undergone review for promotion, tenure, contract review, or a similar in-depth review during the preceding five years. Faculty who have received a merit pay increase during this period shall also be exempt from this additional review. Faculty whose time since the last such review exceeds five years will be phased in to the schedule over a five-year period in order of length of time since last evaluation.
- (3) Each faculty member scheduled for review shall submit to the Department/Division Chairman (DC), or comparable program head:
 - a) All available student evaluations of courses taught during the preceding five years,
 - b) Citations to scholarly research published during the preceding five years,

- c) Other major accomplishments and/or honors received related to the faculty members professional responsibilities during the preceding five years.

Accumulated copies of the "Annual Supplement to the Biobibliography" will satisfy the requirements of b. and c.

- (4) For instructional faculty, the DC will compile a list of all courses taught during the preceding five years, and the number of students enrolled in each course.
- (5) Prior to making his or her assessment, the DC will poll the members of the Department/Division Personnel Committee (DPC) to determine whether or not the DPC wishes to participate in the review process.
- (6) If the DPC has elected to participate in the review process, the DC shall transmit the materials to the DPC which shall make a written assessment of the faculty member's strengths and weaknesses. The DPC will transmit this assessment, along with its recommendations) to the DC.
- (7) The DC shall make his or her independent assessment and recommendations.
- (8) Either the DC or the DPC may solicit additional information, such as copies of published work and conduct further study, such as classroom visitation, as may be appropriate.
- (9) If there are specific weaknesses identified in the evaluation, the DPC and DC recommendations should address means of improving performance. The DC shall discuss these recommendations with the faculty member before transmitting them to the Dean or Vice Chancellor.
- (10) As appropriate, the DC and DPC shall include recommendations for recognition and reward of superior performance.

- (11) The Dean or Vice Chancellor shall consider the DPC and DC recommendations and, subsequent to an independent evaluation of the record, shall direct that appropriate measures be taken.
- (12) After completion of the evaluation process, the Dean or Vice Chancellor will notify the faculty member of its outcome and establish the date for the next evaluation, which shall be scheduled within the next five-year period.
- (13) If the faculty member believes that any action taken pursuant to this policy is unwarranted or inappropriate, he or she may appeal to the Chancellor or an official designated by the Chancellor to review the appeal, whose decision shall be final. Any allegation that such an action violates or denies a right granted under a collective bargaining agreement shall be considered in accordance with the grievance procedures contained in said agreement.