MEMORANDUM

TO:                      Debora Halbert, Associate Vice Chancellor
                          for Academic Affairs

FROM:                    Michael Bruno
                          Interim Vice Chancellor for Academic Affairs
                          and Vice Chancellor for Research

SUBJECT:                 Approved Department Personnel Committee Policies and Procedures

Enclosed please find approved procedures for the Assessment Office.

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
bmccreary@hawaii.edu).

Enclosure

Cc:                      Assistant Vice Chancellor McCreary
I. INTRODUCTION
A. Assessment in Higher Education

Institutional- and program-level assessment is integral to higher education. Assessment is the systematic collection, review, and use of information about educational programs undertaken for the purpose of improving student learning and development. While specific methods, strategies, and techniques may vary across the curriculum, assessment shares a common goal: to improve educational effectiveness. It involves establishing student learning outcomes, measuring/observing the extent to which outcomes are achieved, and finding ways to improve programs so effectiveness is increased. Ways to improve programs include faculty development, pedagogical and curricular modifications, new pre-requisites, budget reallocations, etc. The field of assessment draws primarily from theories in the social sciences, education, and program evaluation.

Assessment at UH Mānoa is a faculty-driven process in which close collaboration among the Assessment Office, Mānoa Assessment Committee, faculty members in academic units, and administrators is required. It is characterized by mutual respect, trust, and ethical behavior.

B. Role of the Assessment Office and its Faculty Specialists

The Assessment Office (AO) is under the Office of the Vice Chancellor for Academic Affairs. The central functions of the AO are to provide support for institutional- and program-level academic assessment and assist UH Mānoa in meeting external requirements (e.g., accreditation requirements).

The AO assists in planning and implementing institutional and general education academic assessment. The AO also assists all academic units in creating assessment plans for their academic degree programs, reporting assessment results, and using results for improvement as needed. The AO critiques and provides feedback to programs on their assessment efforts.

Faculty specialists in the AO provide consultation services on assessment-related issues to all academic units. Thus, they require a thorough understanding of assessment, familiarity with academic fields and their culture, and an understanding of university culture. This requires close cooperation and liaison work with all colleges/schools and academic programs. Furthermore, as the central assessment office on campus, the AO provides leadership in coordinating efforts to clarify policies and procedures across campus.

C. Objectives of the Assessment Office

The AO supports the use of assessment to improve the quality of student learning and it promotes excellence in educational practices. The faculty specialists collaborate with the campus community to establish meaningful, manageable, and sustainable assessment. The AO’s emphasis is on program- and institutional-level assessment. Specific functions include the following:

1) Serve as an assessment resource to the university community. AO is a central location that communicates, consults, shares, and educates on how to assess, what to assess, and how to act on the results.

2) Actively participate in program- and institutional-level assessment planning, implementing, analyzing, summarizing results, and making evidence-based decisions.

3) Conduct research to help programs understand the effectiveness of various delivery methods on student learning.
4) Partner with other offices on campus to align results from all assessment activities across campus.
5) Distribute assessment findings to internal and external audiences.
6) Encourage scholarship on teaching and learning.
7) Explore new technologies to support outcomes assessment.

The faculty specialists’ primary responsibilities include the following:

1) Assist faculty and programs with the development and use of student learning assessments;
2) Develop and offer faculty training workshops and educational materials;
3) Consult with faculty members, administrators, students, and other members of the campus community on assessment activities, including data collection, analysis, interpretation, and use;
4) Compile and report assessment data for the campus community and for regional accreditation purposes;
5) Conduct research and evaluation studies of student learning, in particular at the institutional level (e.g., general education);
6) Coordinate assessment-related activities and events across the campus;
7) Maintain and disseminate assessment resources via an accessible web site.

II. DEPARTMENT CRITERIA

A. Minimum Criteria for Promotion

To be considered for promotion, the candidate must meet the minimum qualifications established by the Board of Regents (BOR) in E5.221 and UHM for the rank to which promotion is sought. (The candidate for promotion is referred to minimum qualifications established by the BOR and UHM.) In addition, the candidate must also meet the criteria as established by the Office. Promotion actually extends beyond meeting the minimum BOR requirements. Promotion is an acknowledgment of the candidate’s professional growth as evidenced by the quality, effectiveness, and continuity of the candidate’s performance in all three of the following areas: 1) Professional Activities, 2) Scholarly Contribution and Professional Development, and 3) University and Community Service.

B. Department Criteria for Contract Renewal, Tenure, and Promotion

Contract renewal, tenure, and promotion may be recommended on the basis of professional growth as evidenced by the quality, effectiveness, and continuity of the candidate’s total contribution to the AO.

The specific duties and responsibilities of faculty specialists in the AO include a range of activities. Acknowledging the myriad responsibilities undertaken by the AO and the necessary division of tasks, an individual’s specific duties and responsibilities will include many, but not all, of the activities listed in this document. There also may be additional activities assigned which are not identified below. Individuals are not expected to achieve equally in all three areas. Performance within the area of Professional Activities should be weighed most heavily because it directly serves the mission and objectives of the AO.

1. Professional Activities (approximately 70%)

Assessment Office (AO) faculty engage in a variety of professional activities focused on providing support for academic assessment as well as facilitating the overall mission of AO and the university. Professional activities encompass a broad spectrum ranging from the delivery of appropriate direct client services to office development and administrative duties. The AO’s primary clients are academic programs, including General Education.

Professional Activities may include, but are not limited to, the following activities that promote academic assessment and support the mission of the AO.
i. Direct Client Service

- Assist faculty and programs with the development and use of student learning assessments
- Provide individual or group consultation on assessment to colleges/schools, academic departments, and support units
- Design, develop, and offer workshops and training seminars
- Facilitate faculty meetings on assessment issues (e.g., data interpretation and use)
- Maintain and disseminate assessment resources via an accessible web site
- Provide feedback, evaluation, recommendations to program assessment plans
- Design and recommend teaching/instruction/curriculum/research strategies based on assessment results
- Develop effective assessment tools such as rubrics and tests
- Provide specialized services (e.g., critique survey questions and research designs; provide advice on statistics)
- Serve as an advisor to faculty committees and administration on assessment issues

ii. AO Development

- Identify the assessment needs of the institution, colleges/schools, and departments in a systematic manner and respond appropriately in AO planning and management
- Plan, develop, coordinate and/or implement AO activities, including securing extramural funds as necessary and appropriate
- Monitor and evaluate AO activities and ensure that the original stated need is met or activities are adjusted appropriately
- Develop and improve AO techniques, procedures, and materials
- Participate in the development and/or revision of AO literature

iii. AO Administration

- Coordinate assessment activities, faculty training, and related events across the campus
- Compile and report assessment data for the campus community and for regional accreditation purposes
- Participate in the development, interpretation, revision, and implementation of AO policies and procedures
- Plan and secure resources for use in support of AO services
- Administer, supervise, and/or coordinate AO efforts and services
- Perform general administrative duties (write correspondence, keep accurate records, prepare budgets, etc.)

2. Scholarly Activities: Research/evaluation and Professional Development (approximately 20%)

AO faculty specialists use research and evaluation to ensure that AO activities and services are relevant and meet faculty, department, college/school, and institutional needs. As needs change, this allows a sensitive response and provides the basis for modification and change.

AO faculty specialists keep current with developments in the field of assessment and its related fields (e.g., program evaluation, psychometrics), improve and enhance their skills and techniques, and continuously expand their basic knowledge in order to better serve faculty, departments, colleges/schools, the institution, and the community.

As active faculty members of the university community, AO faculty specialists conduct original research. Through their research activities, they not only keep current with developments in the assessment field but also foster professional growth and improve assessment efforts on campus.

Because of the diverse and complex nature of an AO faculty specialist's duties, evidence of scholarly activities should not be limited to solely publications. Evidence can include making...
scholarly presentations at conferences; publishing assessment methods/tools/strategies in technical reports, newsletters, and on the Internet; publishing research results in journals and/or conference proceedings; and reviewing and editing professional publications. While continuous engagement in scholarly activities in the field of assessment is considered to be primary, conducting research in the field of the faculty specialist’s academic discipline is also valuable and thus encouraged.

Collaborative research and joint and shared publications are common in the field of educational assessment. For joint and shared publications, faculty specialists should describe the amount of their contribution to the work itself and the conventions for the order of the authors (e.g., alphabetical, amount of contribution) because it varies by publication. Co-author or researcher concurrence or an independent report is encouraged.

Scholarly activities may include, but are not limited to, the following activities that relate to promoting academic assessment in higher education.

i. Research/evaluation

- Determine the academic, assessment-related needs and interests of faculty, departments, colleges/schools, and the institution through formal evaluation methods
- Evaluate success, effectiveness, user satisfaction, use of program or service through formal evaluation methods
- Conduct formal inquiry into a topic through accepted means (reviewing literature, generating hypotheses, collecting, analyzing, and interpreting data)
- Conduct research on student learning or other studies related to assessment in higher education
- Plan, present, and/or edit written/oral reports of results of research/evaluation
- Present materials for publication in relevant journals, books, technical reports, newsletters, on the Internet, etc.
- Present or be invited to present papers or posters or to participate in a panel or discussion group at a professional conference, colloquium, seminar
- Publish assessment methods/tools/strategies in journals, technical reports, newsletters, and on the Internet and/or publish research results in journals and/or conference proceedings
- Apply for and receive fellowships, grants, and/or awards for research/evaluation purposes
- Create documents and tools that assist the research being conducted by others
- Engage in professional activities that enhance research visibility and prominence of the unit/institution

ii. Professional Development

- Engage in formal study, workshops, meetings, seminars, and conferences in order to improve professional competence
- Study for/complete requirements for an advanced degree, diploma, certification, etc., in a field relevant to assessment in higher education
- Remain current with literature and professional associations relevant to area of assessment in higher education

3. Service: University, Professional, and Community (approximately 10%)

Service activities include those that have to do with the internal organization of the university itself; those activities having to do with the professional bodies which provide the faculty specialist with professional identity and status; and activities which normally occur outside the institution itself and are related to the faculty member’s professional expertise and/or responsibilities.
University, professional, and community service complements and supports the functions and goals of the AO through the development of leadership, the reinforcement of positive working relationships, and the encouragement of professional development. Undertaking a service role improves communication within the departments of UH Mānoa and the entire UH System, as well as between the University and broader communities. It provides a mutually beneficial environment which supports interaction at all levels, promotes cooperation and coordination, and contributes to the recognition of the University by external constituencies. A better understanding of the assessment, evaluation, and institutional research communities developed through service, permits the AO faculty specialists to better engage faculty in assessment activities.

Service activities may include, but are not limited to, the activities listed below.

i. University Service

- Serve as a member or chair of a departmental, campus-wide, or system-wide committee
- Work on faculty governance bodies, committees (e.g., Mānoa Faculty Senate, College Faculty Senate)
- Serve as a mentor to colleagues, staff, students
- Serve as a member of review/evaluation panel/committee
- Act as special project leader or coordinator
- Participate in functions that build a campus community or increase university visibility
- Deliver guest presentations in academic classes

ii. Professional Service

- Review research, professional organization proposals, manuscripts
- Serve as an editor of conference proceedings, as a journal editor, as a member of an editorial board or other professional publication in the area of assessment in higher education
- Serve as an officer and/or board member in a state, national, or international professional society in the area of one's expertise
- Organize, chair, or co-chair a conference or conference session
- Respond to external requests to conduct workshops, seminars, and presentations in area of expertise
- Consult and advise with professional colleagues outside of UHM
- Respond to requests for comments on published materials

iii. Community Service

- Provide uncompensated professional expertise related to assessment to the community-at-large and to government agencies.
- Speak, make presentations to public group
- Serve on advisory boards, committees as related to area of expertise
- Conduct conferences and workshops on campus for the benefit of the community-at-large
- Provide expert testimony at legislative and public hearings, and/or meetings while serving as a representative of the university in area of expertise
- Provide assistance to federal, state, or county agencies in area of expertise
- Provide service to volunteer organizations in area of expertise
ADDENDUM A

I. SOURCES OF EVALUATION

To judge a candidate's worthiness for tenure, promotion, or contract renewal, the review committee (the Faculty Personnel Committee, Department Personnel Committee or Tenure Promotion Review Committee, whichever is applicable) evaluates as many as possible of the following kinds of data provided by the candidate. These may include, but are not limited to:

A. Professional Activities
   1. Evaluations by peers and colleagues, both formal and informal, including standardized evaluations, as well as letters or other written comments.
   5. A selection of meeting facilitation materials.
   6. A selection of policy and procedures documents.
   7. A selection of awards and recognition for assessment-related activities.

B. Scholarly Activities: Research/evaluation and Professional Development
   1. Evaluations by peers based on their experiences in working with the candidate on research and program activities and through observation of program planning and operation.
   2. Written reports and presentations of goals, efforts, and results of research and program planning and implementation.
   3. Research and travel grants.
   4. Published and unpublished work related to assessment, program evaluation, program development, curriculum development, or pedagogy, including web pages, articles, book chapters, manuals, handbooks, newsletters, research reports.
   5. Conference proceedings/schedule and letters of invitation/acceptance.
   6. Earning of additional credits and advanced degrees at the graduate level.

C. Service: University, Professional, and Community
   1. Statements from committee members and others familiar with the candidate's work on committees, panels, and organizations.
I. PROCEDURES FOR CONTRACT RENEWAL

A. Formation of the Department Personnel Committee (DPC) or Faculty Personnel Committee (FPC)

1. The Department Personnel Committee (DPC) will consist of three or more tenured faculty who will serve for a period of one year.

2. DPC members will be selected through secret ballot. All AO faculty in a permanently funded position are eligible to vote.

3. If there is an insufficient number of tenured faculty to form an in-house DPC, the following selection process will be used:
   a. The Associate Vice Chancellor for Academic Affairs or designee constitutes a Faculty Personnel Committee (FPC). AO faculty may recommend the names of tenured UHM faculty members for consideration. The FPC will consist of all permanently funded, tenured AO faculty members, with the remaining members chosen from among tenured full-time faculty with experience in higher education assessment.
   b. Faculty members selected for the FPC will serve for one year.

B. General Requirements/Purpose of Contract Renewal

1. University requirements relating to length of faculty probationary periods, procedures and schedules for contract renewal or termination of appointment for non-tenured faculty are contained in the current BOR/UHPA Agreement.

2. For AO specialist faculty, the contract renewal procedures ensure that the specialist faculty meets the criteria and also to
   a. Provide the candidate an opportunity to prepare an application that gives an overview of accomplishments and work-in-progress to assist the personnel committee in assessing strengths and weaknesses.
   b. Provide the candidate and the candidate’s colleagues an opportunity to discuss candidly the candidate’s day-to-day performance and professional future, and to stipulate areas where improvements, if needed, should be made.

C. Criteria for Contract Renewal

In general, a contract may be renewed if

(1) performance of assigned duties has been rated satisfactory;

(2) there is a continuing need for her/his services, particular knowledge, and/or skills; and s/he has shown evidence of continued professional improvement and demonstrates professional and personal qualities needed for work in the unit commensurate with the level of appointment.

The evaluation of the candidate’s performance will be based on the criteria outlined in the AO’s “Departmental Criteria for Contract Renewal, Tenure, and Promotion, Assessment Office, University of Hawai’i at Mānoa.”

D. Timeline

During the summer the FPC/DPC will be formed according to the procedures described above. Those individuals selected will serve for a period of one year. The Associate Vice Chancellor for
Academic Affairs will notify the candidate in writing that s/he is scheduled for contract renewal. The candidate will observe the deadline set by the University.

E. Review Steps
1. The FPC/DPC reviews the document submitted by the candidate and submits its recommendation to the Associate Vice Chancellor for Academic Affairs. Voting by secret ballot will occur at all final votes.
2. The recommendations of the FPC/DPC are made available to the candidate for review.
3. The candidate meets with the FPC/DPC Chair to review the written recommendations.
4. The dossier, any required forms, and the recommendations are forwarded to the Associate Vice Chancellor for Academic Affairs.
5. The Associate Vice Chancellor for Academic Affairs, based on all the evidence, assesses and decides on the contract renewal, completes any appropriate forms, and notifies the candidate.

II. PROCEDURES FOR TENURE & PROMOTION
A. Formation of the Department Personnel Committee (DPC) or Faculty Personnel Committee (FPC)
1. The Department Personnel Committee (DPC) will consist of five tenured faculty who will serve for a period of one year.
2. DPC members will be selected through secret ballot. All AO faculty in a permanently funded position are eligible to vote.
3. If there is an insufficient number of faculty to form an in-house DPC, the following selection process will be used:
   a. The Associate Vice Chancellor for Academic Affairs or designee constitutes a Faculty Personnel Committee (FPC). AO faculty may recommend the names of tenured UHM faculty members for consideration. The FPC will consist of all permanently funded, tenured AO faculty members, with the remaining members chosen from among tenured full-time faculty with experience in higher education assessment.
   b. Faculty members selected for the FPC will serve for one year.
B. General Requirements of Tenure/Promotion
The evaluation of the candidate’s performance will be based on criteria established by the Board of Regents, UHM, and those outlined in the “Departmental Criteria for Contract Renewal, Tenure, and Promotion, Assessment Office, University of Hawai‘i at Mānoa.”
1. For tenure: The general reasons for granting tenure are that the University has concluded that the candidate (1) is and will continue to be a productive and valuable member of the unit, (2) has shown a pattern of continuing professional growth that is positive, and (3) will contribute toward meeting a long-term need of the institution because of the individual’s professional specialty and services. The applicant must also meet additional criteria established by the department. In addition, the candidate must meet the specific criteria for Specialist Faculty as outlined in the current “Criteria and Guidelines for Faculty Tenure/Promotion Application, University of Hawai‘i at Mānoa.”
2. For promotion: To be considered for promotion, the candidate must meet the minimum qualifications established by the Board of Regents for the rank to which promotion is sought. However, meeting the minimum is insufficient; promotion is an acknowledgment of the candidate’s professional growth. The applicant must also meet additional criteria established by the department as well as meet the specific criteria for Specialist Faculty as outlined in the
C. External Referees for Tenure/Promotion

As part of the tenure/promotion process, external evaluations of each candidate’s work will be included in the document. The candidate will be asked to provide the Associate Vice Chancellor for Academic Affairs and the chair of the FPC/DPC with three to five names and addresses of individuals who work in the field of assessment in higher education and are not at UH. The Associate Vice Chancellor and the chair of the FPC/DPC will decide from whom to request external reviews. It is the obligation of the Associate Vice Chancellor to secure external evaluations by writing to at least three of the referees selected by the candidate and write to an equal number of other known individuals in the field who can evaluate the candidate’s work that are selected by the Associate Vice Chancellor and the chair of the FPC/DPC. The Associate Vice Chancellor will obtain an equal number of reviews from the candidate’s list and the list from the Associate Vice Chancellor and chair of the FPC/DPC. Evaluators should hold the rank to which the candidate is applying, or a higher one. The candidate should not contact the possible external evaluators.

The same basic cover letter soliciting the evaluation should be sent to each evaluator. The Associate Vice Chancellor and the chair of the FPC/DPC should keep a copy of each letter. A curriculum vitae will be included with the letter as well as other supporting materials, selected by the candidate in consultation with the Associate Vice Chancellor and the chair of the FPC/DPC. The purpose of the request is to obtain an opinion about the contributions that the candidate has made and not to determine whether or not the candidate would receive tenure/promotion at another institution. The Associate Vice Chancellor and chair of the FPC/DPC should refer to the current “Criteria and Guidelines for Faculty Tenure/Promotion Application, University of Hawai‘i at Mānoa” for the procedures for handling the evaluations from outside referees in order to maintain confidentiality.

D. Confidentiality and Access to the Dossier

During deliberations, members of the FPC/DPC and those in supervisory and administrative positions within the unit see privileged information. Access to a candidate’s dossier is limited at each review step to those individuals deliberating on the dossier at that step. A candidate is advised to retain a copy of the dossier exactly as submitted.

The candidate will include resumes and may include any evaluation statements made by previous FPC/DPCs to the current FPC/DPC. Any material submitted to the FPC/DPC relating to an individual’s application becomes part of the dossier and must be retained and goes forward with the document. In addition, no anonymous material will be accepted at any level of deliberation.

E. Timeline

During the summer the FPC/DPC will be formed according to the procedures described above. Those individuals selected will serve for a period of one year.

The Associate Vice Chancellor for Academic Affairs and chair of the FPC/DPC will begin the process of soliciting the names of external referees, and collect materials from the candidate to be included in the external evaluation process.

The candidate will observe the deadline set by the University.

F. Review Steps

All steps of review will be held in accordance with the current “Criteria and Guidelines for Faculty Tenure/Promotion Application, University of Hawai‘i at Mānoa.” At the FPC/DPC level, voting by secret ballot will occur at all final votes.
III. GUIDELINES AND PROCEDURES FOR FIVE-YEAR REVIEW

The Assessment Office (AO) at the University of Hawai‘i at Mānoa hereby establishes the following and procedures for review of its tenured Faculty Specialists. The guidelines that follow refer to and summarize parts of three different preexisting documents:

- Procedures for Evaluation of Faculty at UH-Mānoa (Revised September 2008)
- Department Criteria for Contract Renewal, Tenure, and Promotion, Assessment Office, Chancellor’s Office, University of Hawai‘i at Mānoa (Approved [INSERT DATE])
- Criteria and Guidelines for Faculty Tenure / Promotion Application, University of Hawai‘i at Mānoa (September 2001)

The Board of Regents Bylaws and Policy Section 9-15 (UHPA – Reference Section, page 2) establishes the general guidelines for periodic evaluation of faculty and provides for a review at least once every five years. AO candidates for five-year review should read the Procedures for Evaluation of Faculty at UH-Mānoa (Revised July 1997) that describes this review process.

As stipulated by the Procedures, appropriate unit leaders will notify, no later than September 1, those faculty members who are to be reviewed. AO candidates for five-year review should turn in their review materials (described in the next section) by December 1.

Faculty Specialists identified for five-year review will submit a curriculum vita, resume, or “professional profile” describing their professional activities since the last review (application for tenure or promotion, or five-year review). This written document should reflect the unit’s mission and requirements and the expectations for the specialist’s rank or classification. Materials submitted by Specialists should address the following categories detailed in Department Personnel Committee and Procedures for Tenure and Promotion:

I. Professional Activities
II. Scholarly Activities
III. Service

It is expected that Faculty Specialists will continue to perform at the professional level at which they were tenured or to which they have been promoted. Therefore, Faculty Specialists will be evaluated according to the general criteria/requirements for their rank as described by the current Criteria and Guidelines for Faculty Tenure/Promotion Application (Revised September 2001). Evidence bearing on the criteria described by the following standards should be submitted, according to the job level being reviewed:

All Specialists (S-2 through S-5)

- Professional achievement and productivity.
- Professional growth in the specialty.
- Service to the professional and lay communities.
- Ability to work effectively with faculty, staff, and administrators.

Assistant Specialists (S-3)

- Competence, productivity and continued professional achievement and maturity.
- Performance of duties calling for independent professional judgment in the field of specialization.
- Indication of the capacity to supervise clerical help as appropriate.

Associate Specialists (S-4)

- Continued professional maturity in the professional specialization.
- Ability to competently exercise independent professional judgment.
- Ability to supervise the work of assistants as appropriate and to plan and organize assigned activities.
- Professional achievement that reflects his or her stature as a contributor to the standards, techniques and methodology of the profession.
- Interaction with the broader professional community beyond the University of Hawai‘i at Mānoa.

05/22/2012
Specialist (S-5)

- Continued productivity and professional maturity.
- Ability to competently exercise independent professional judgment.
- Evidence of successful planning and organization of assigned activities, including the supervision of assistants if appropriate.
- Professional achievement that establishes his or her stature as a substantial contributor to the standards, techniques, and methodology of the profession.
- Evidence of significant interaction and leadership with the broader professional community beyond the University.

IV. AMENDMENTS TO THIS DOCUMENT

As indicated in the current BOR/UHPA Agreement, amendments to this document, the “Department Procedures Governing Contract Renewal, Tenure, and Promotion” may be recommended from time to time at the discretion of the AO.

The proposed amendment shall be sent through the Associate Vice Chancellor for Academic Affairs to the appropriate Chancellor and the union for review and approval, which shall not be unreasonably withheld. Approved amended procedures shall be filed with the Union and the Associate Vice Chancellor.