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# Audit of the University of Hawaii's Management of Faculty Workload

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A Report to the  
Governor  
and the  
Legislature of  
the State of  
Hawaii

Report No. 97-9  
April 1997



**THE AUDITOR**  
STATE OF HAWAII

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## The Office of the Auditor

The missions of the Office of the Auditor are assigned by the Hawaii State Constitution (Article VII, Section 10). The primary mission is to conduct post audits of the transactions, accounts, programs, and performance of public agencies. A supplemental mission is to conduct such other investigations and prepare such additional reports as may be directed by the Legislature.

Under its assigned missions, the office conducts the following types of examinations:

1. *Financial audits* attest to the fairness of the financial statements of agencies. They examine the adequacy of the financial records and accounting and internal controls, and they determine the legality and propriety of expenditures.
2. *Management audits*, which are also referred to as *performance audits*, examine the effectiveness of programs or the efficiency of agencies or both. These audits are also called *program audits*, when they focus on whether programs are attaining the objectives and results expected of them, and *operations audits*, when they examine how well agencies are organized and managed and how efficiently they acquire and utilize resources.
3. *Sunset evaluations* evaluate new professional and occupational licensing programs to determine whether the programs should be terminated, continued, or modified. These evaluations are conducted in accordance with criteria established by statute.
4. *Sunrise analyses* are similar to sunset evaluations, but they apply to proposed rather than existing regulatory programs. Before a new professional and occupational licensing program can be enacted, the statutes require that the measure be analyzed by the Office of the Auditor as to its probable effects.
5. *Health insurance analyses* examine bills that propose to mandate certain health insurance benefits. Such bills cannot be enacted unless they are referred to the Office of the Auditor for an assessment of the social and financial impact of the proposed measure.
6. *Analyses of proposed special funds* and existing *trust and revolving funds* determine if proposals to establish these funds and existing funds meet legislative criteria.
7. *Procurement compliance audits* and other *procurement-related monitoring* assist the Legislature in overseeing government procurement practices.
8. *Fiscal accountability reports* analyze expenditures by the state Department of Education in various areas.
9. *Special studies* respond to requests from both houses of the Legislature. The studies usually address specific problems for which the Legislature is seeking solutions.

Hawaii's laws provide the Auditor with broad powers to examine all books, records, files, papers, and documents and all financial affairs of every agency. The Auditor also has the authority to summon persons to produce records and to question persons under oath. However, the Office of the Auditor exercises no control function, and its authority is limited to reviewing, evaluating, and reporting on its findings and recommendations to the Legislature and the Governor.



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# OVERVIEW

THE AUDITOR  
STATE OF HAWAII

## Audit of the University of Hawaii's Management of Faculty Workload

### Summary

Instruction ranks as the highest priority of the University of Hawaii's three missions of instruction, research and service. This is evidenced by Board of Regents' policy and by the expenditures for instructional faculty. However, controls to ensure the effective utilization of instruction faculty continue to be lacking. This is not a new concern; we recommended in a 1973 audit that the Board of Regents develop policies to define and prioritize the three components of faculty workload. Nationally also, university boards and state legislatures are demanding increases in faculty instructional workload.

The board did adopt its *Teaching Assignments for Instruction Faculty* policy in 1982. The policy requires that faculty at the four-year campuses teach 24 semester credit hours or 8 typical courses, and faculty at the community college teach 30 semester credit hours or 10 typical courses, per academic year. But the policy allows for the substitution of non-teaching activities, provided the requests are processed according to the administrative teaching assignment policy.

However, we found that the lack of clarity of the board policy coupled with the failure to enforce the administrative teaching policy has resulted in ineffective management of faculty resources. The board policy does not specify a *minimum* teaching requirement so instructional faculty may be permitted to teach *no* courses at all. We found this to be the case in our analysis of 22 departments at Manoa and all faculty at the remaining nine campuses. There were variations among the four-year campuses. Among the community colleges the Leeward faculty teaching load was 20 percent higher than the Maui faculty load.

We found that, in contradiction to administrative policy, across-the-board reductions in teaching requirements are granted, permitting faculty at four-year campuses to teach as few as two courses per academic year. Students thus have fewer courses available and the use of and costs for lecturers may increase.

When instructional faculty are relieved of teaching, board policy requires that equivalent credits be developed for non-instructional duties. We found that equivalencies are poorly defined and sometimes suspect. We found examples where the equivalent credit for the same activity differed between faculty, the amount of the credit appearing to be simply what each faculty member needed to comply with the board's teaching assignment policy.

Ineffective controls on faculty teaching assignments also contributed to the improper compensation of faculty. Faculty were paid for overload teaching assignments although they did not teach the minimum number of courses to qualify for overload pay. In addition, a foreign national was paid about \$128,000 despite his inability to obtain the proper work visa and despite his failure to fulfill his teaching duties.

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## Recommendations and Response

We recommended that the Board of Regents clarify its requirements for the instructional, research and service components of instructional faculty workload. We also recommended that the board establish a minimum teaching assignment for all instructional faculty. We further recommended that the president of the university ensure that equivalencies across campuses are equitable and that faculty overload requests are processed in compliance with the contractual agreement between the Board of Regents and the University of Hawaii Professional Assembly. The university responded that it has already taken steps to ensure overload requests are reviewed properly.

The board and president generally disagree with our finding regarding the adequacy of the current board teaching assignment policy. They maintain the policy is clear and purposely provides for judgments and variability in the implementation process.

The university maintains that it monitors baseline workload measures through average workload in internal reports. The university claims the use of these reports by us attests to the reports' validity. But our use of these reports was limited to identifying what average workload measures the university uses. We went further—to the actual teaching assignments of individual faculty for both the fall and spring semesters in 1994-95. The university incorrectly states that we focused on only the fall semester. It is the *university's* report on average workload measures that is limited to the fall semester.

The university indicated faculty expenditures identified in the draft report were incorrect. Our calculations were based upon expenditure data as presented by the university. Amendments were made to the draft report to reflect the university's revised presentation of data.

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Submitted by

**THE AUDITOR**  
STATE OF HAWAII

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## Foreword

This is a report of our audit of the University of Hawaii's management of faculty workload. The audit was conducted pursuant to Section 23-4, Hawaii Revised Statutes, which requires the Auditor to conduct postaudits of the transactions, accounts, programs, and performance of all departments, offices, and agencies of the State and its political subdivisions.

We wish to express our appreciation for the cooperation and assistance extended by the Board of Regents and the officials and staff of the University of Hawaii.

Marion M. Higa  
State Auditor



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# Chapter 1

## Introduction and Background

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Faculty are a university's most significant resource. Full and proper utilization of that resource enables a university to address its mission and accomplish its goals. To direct faculty toward that mission, the university must determine and clearly articulate the amount and type of work that is expected of them. This expectation is known as faculty workload.

This audit examines the University of Hawaii's management of faculty workload. It was conducted pursuant to Section 23-4, Hawaii Revised Statutes, which requires the State Auditor to conduct postaudits of the transactions, accounts, programs and performance of all departments, offices, and agencies of the State and its political subdivisions.

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### **The University's Mission Is Tied to Its Land Grant Origin**

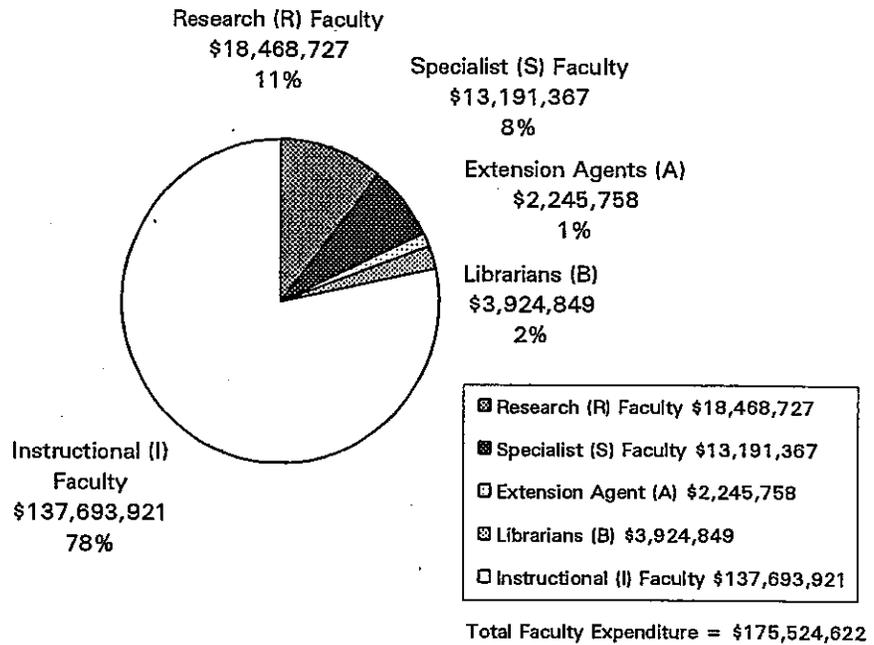
Under provisions of the 1862 Morrill Act and the 1887 Hatch Act, the University of Hawaii was founded in 1907 as a land-grant college. These two acts have enabled states, receiving federal funds and land, to establish colleges offering programs in agriculture, engineering, and home economics. These acts also allowed the colleges to create research and experimental stations. In 1914, the Smith-Lever Act provided federal support to colleges for extension work in agriculture and home economics. Provisions of these three acts serve as the basis for the university's multiple mission of instruction, research, and service.

### ***Instruction is a stated priority for the University of Hawaii***

Although the university has a multiple mission, instruction is the most important component. The Board of Regents Bylaws and Policies Section 9-16 states that instruction is the university's highest priority and that teaching is the most important duty of university faculty. The priority given to instruction is confirmed by the university's expenditures for faculty.

In FY1994-95, the university expended approximately \$176 million, or 29 percent of its total budget, for faculty positions. As illustrated in Exhibit 1.1, about \$138 million (78 percent of faculty expenditures) was for instructional faculty (I) and community college faculty (C) whose primary responsibilities are to teach students. The remaining \$38 million was expended for faculty who do not usually have instructional duties: researchers (R), librarians (B), extension agents (A), and specialists (S).

**Exhibit 1.1  
University of Hawaii Expenditures by Faculty Category  
FY1994-95**



\* Note: All community college (c) faculty are identified as instructional.

Source: Expenditures derived from the University of Hawaii's Office of Human Resources, Faculty by Function Report, April 1996.

Systemwide, the university employs a total of 3,065 full-time equivalent (FTE) faculty as shown in Exhibit 1.2. Manoa is the only campus with research faculty, who are generally assigned to Organized Research Units. Researchers comprise about 14 percent of Manoa's faculty and generally do not have formal classroom instruction responsibilities. Specialist faculty are assigned to the Manoa and Hilo campuses. Specialists are found in a variety of academic units and are utilized for particular areas of expertise such as student counseling and faculty academic support. Specialists constitute approximately 12 percent and 9 percent of the Manoa and Hilo campuses, respectively. Extension agents comprise 2 percent of Manoa's faculty and generally provide community support services through the College of Tropical Agriculture and Human Resources.

## Exhibit 1.2 Faculty Positions by Function at the University of Hawaii Academic Year 1994-95

Campus	Total # Faculty (FTE)	Instructional Faculty (FTE)	Research Faculty (FTE)	Specialist Faculty (FTE)	Extension Agent (FTE)	Librarians (FTE)
Manoa	1,990	1,346	282	243	47	72
West Oahu	23	21	0	0	0	2
Hilo	169	146	0	16	0	7
Community Colleges	883	883	0	0	0	*
Systemwide	3,065	2,396	282	259	47	81

NOTE: Faculty FTE (full time equivalent) was determined by averaging the Fall 1994 and Spring 1995 FTE count.

\* All community college faculty are identified as instructional, including academic support faculty such as counselors and librarians.

Source: University of Hawaii's Office of Human Resources, Faculty by Function Report, April 1996.

## Organization of the University

The university system is governed by an eleven-member Board of Regents appointed by the governor. According to Article X, Section 6 of the Hawaii State Constitution, the board has "exclusive jurisdiction over the internal organization and management of the university." The board is responsible for appointing the president of the university who serves as executive officer of the board. As executive officer, the president is responsible for administering the board's policies and for providing educational leadership. Since 1985, the president has served in the dual role of university president and Manoa campus chancellor.

The university is a statewide system of ten campuses with a total enrollment of approximately 50,000 students. The campuses are classified as follows:

University of Hawaii at Manoa (Manoa campus) is the only comprehensive baccalaureate, graduate, and research campus in the system. The Manoa campus is classified as a Research University I by the Carnegie Foundation for the Advancement of Teaching. This means the Manoa campus has a full range of baccalaureate programs, a commitment to graduate education through the doctorate level, a high priority on research, and the ability to maintain certain minimum levels of federal and other research funding support. Accordingly, Manoa

campus faculty are more heavily engaged in research than are faculty at the other campuses. As noted above, the president of the university serves as the Manoa chancellor.

The University of Hawaii at Hilo and the University of Hawaii-West Oahu focus on undergraduate education and award baccalaureate degrees. In addition to educating traditional undergraduate students, the West Oahu campus targets non-traditional students, including parents and older students. The Hilo and West Oahu campuses are administered by one chancellor.

Seven community colleges—four on Oahu (Honolulu, Kapiolani, Leeward and Windward) and one each on Kauai, Maui and Hawaii—broaden access to higher education in Hawaii by providing open-door admissions to liberal arts, vocational education, pre-professional, and professional programs. The seven community colleges are administered by one chancellor. Each community college campus also has its own provost to serve as chief administrator.

Each of the chancellors reports to the president. Daily operations for each of the ten campuses are administered by provosts, deans, and department chairs. Department chairs are generally responsible for assigning faculty workload, which includes instructional, research, and service components. The university organizational chart is shown in Exhibit 1.3.

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## Objectives of the Audit

The objectives of this audit were to:

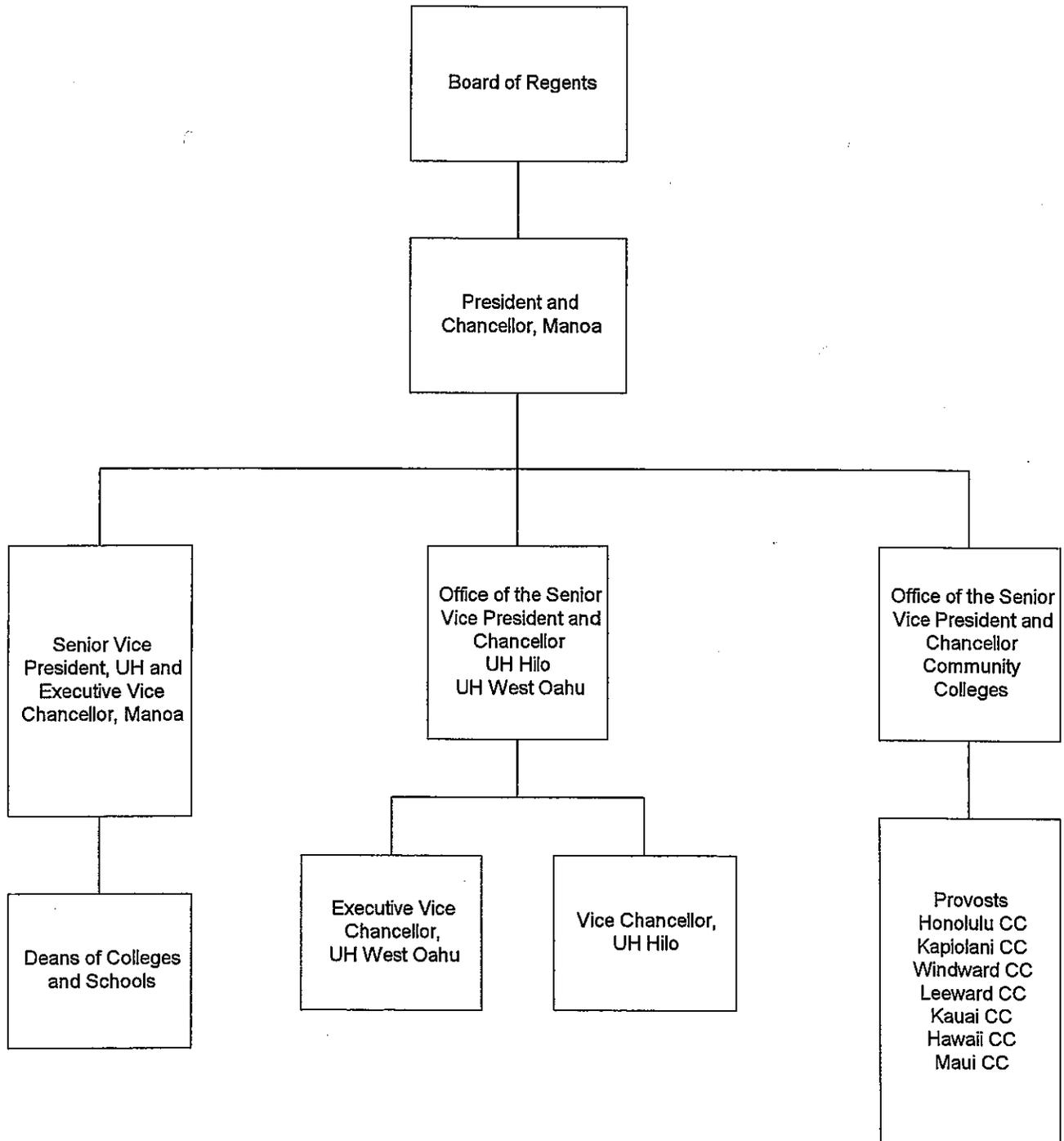
1. Identify current policies and practices within the University of Hawaii relating to faculty workload.
2. Assess the university's management practices relating to faculty workload.
3. Make recommendations as appropriate.

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## Scope and Methodology

This audit included a review of instructional faculty workload policies and practices at each campus of the University of Hawaii system. Policies and practices affecting researchers, librarians, extension agents, and specialists were not included in the review. We reviewed teaching assignments for faculty at 22 departments at the Manoa campus and for all faculty at the remaining nine campus sites. We reviewed the Board of Regents' and the administrative teaching assignment policies and

**Exhibit 1.3**  
**University of Hawaii Organizational Chart**



assessed compliance with these policies as well as with workload standards developed at the college and department levels. We also examined overload practices at the university and assessed the use of management controls to ensure the efficient use of and proper compensation to faculty.

Our work included interviews with senior university management, college deans, provosts, department chairs, and faculty. We also reviewed instructional workload activity reports, personnel records, and other pertinent records. We interviewed representatives from, and reviewed workload studies of, national organizations.

Our work was performed from December 1995 through December 1996 in accordance with generally accepted government auditing standards.

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# Chapter 2

## Workload of Instructional Faculty Should Be Clearly Defined and Closely Monitored

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The University of Hawaii has a multiple mission of instruction, research, and service. Instruction is the most important element of that mission. We find that the university has not met the challenge of properly directing faculty toward the university's teaching priority. The Board of Regents has not clearly defined its expectations regarding the amount and type of work that instructional faculty are to perform. Furthermore, the university's administration has not sufficiently monitored workload to ensure an efficient utilization of resources. Consequently, the taxpaying public has no assurance that faculty, the university's most costly resource, have provided students with the most cost efficient access to instruction.

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### Summary of Findings

1. The Board of Regents' teaching assignment policy does not establish a clear workload standard to ensure that faculty are held accountable for meeting the university's instructional priority.
2. Variations in faculty workload have not been adequately justified. Specifically, teaching equivalents for non-instructional duties are inconsistently applied and college-wide teaching assignments ignore the review process required by the university's administrative teaching assignment policy.
3. Deficient personnel practices at the university have resulted in unjustified supplemental payments to faculty and expenditures for service not received.

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### Board's Faculty Workload Policy Is Poorly Defined

Board of Regents' Policy 9-16, *Teaching Assignments for Instructional Faculty*, was adopted in 1982 to satisfy a legislative requirement that the university establish a clear faculty workload standard. The board's policy does not satisfy the Legislature's requirement. The policy does not establish exactly what constitutes faculty workload and does not clearly identify a minimum teaching assignment for instructional faculty. Consequently, the policy is unenforceable and meaningless. Until the university clarifies the policy, it cannot expect to hold faculty accountable to appropriate workload standards.

***The need for clarity is not a new issue***

The need to establish clear faculty workload standards is not a new issue. Our 1973 *Audit of the University of Hawaii's Faculty Workload*, Report No. 73-2, found that the university lacked clear faculty workload policies. We recommended that the Board of Regents develop policies to define and prioritize the instructional, research, and service components of faculty workload. We also recommended that the Board of Regents require the university's administration to establish a management control and reporting system to utilize faculty more efficiently and to monitor compliance with workload policies.

Eight years later, in our *Management Audit of the University of Hawaii*, Report No. 81-9, we found that the university was no closer to developing and implementing clear, consistent, and reasonable policies on faculty workload despite repeated calls for action and frequent assurances that corrective steps were being taken. We recommended that the Legislature withhold funding for new instructional positions until the university adopted a workload standard identifying a minimum teaching assignment for instructional faculty, and specific activities that warrant reduction from teaching assignments.

The Legislature froze all new instructional positions in response to our recommendation. Subsequently, the Board of Regents renewed its workload policy efforts. It formally adopted the *Teaching Assignments for Instructional Faculty* policy in January 1982, noting the board's willingness to be held accountable for expenditures of public resources. Eight years later, the university administration released its administrative policy on teaching assignments for instructional faculty.

We found that the board's policy is inadequate because the policy's wording is contradictory and does not provide adequate guidance to ensure proper management of faculty workload. We further found that the administrative teaching policy has not been properly implemented or enforced.

***Demand for faculty accountability is increasing***

The need for faculty workload standards reflects a growing national trend to develop faculty accountability measures. University boards across the nation have established policies addressing faculty workload. About 90 percent of governing boards (those which manage universities) and 47 percent of coordinating boards (those which mediate between universities and governing boards) have established or are considering establishing workload policies. In addition, state legislatures are reviewing faculty workload and demanding increases in faculty instructional workload productivity.

At least 23 states are reported to be considering ways of more closely monitoring faculty productivity, and eight states have specifically legislated some aspect of faculty workload. For example, Ohio's 1993

budget bill required a 10 percent increase in undergraduate teaching activity by Fall 1994. Florida now requires each full-time faculty paid wholly by state general funds to teach 12 classroom contact hours per week. Full-time Florida faculty whose positions are paid partially by state general funds are required to teach classroom contact hours in proportion to the percentage of state funding for their salaries.

***The board's teaching assignment policy is contradictory***

In establishing a clear workload policy for the University of Hawaii, the Board of Regents must first fully understand what its current policy includes. However, the regents do not all agree on whether the teaching assignment standard includes or excludes research and service responsibilities.

The standard on instructional faculty workload does not clearly establish whether it applies only to teaching assignments or whether it includes the research and service components. On one hand, the board's policy states that "instruction is the University's highest priority and that the policy sets standards for the assignment of the instructional component of faculty responsibilities." However, on the other hand, the policy appears to address the non-instructional components of faculty workload by authorizing the development of equivalent credit for non-instructional activities that are consistent with and in furtherance of the mission of the university. The contradictory nature of this language results in a policy that does not clearly identify its scope.

The policy also fails to establish a minimum teaching workload for all instructional faculty. A teaching assignment policy should identify the minimum number of semester credit hours that instructional faculty should teach. This becomes the measure by which faculty can be held accountable. Permitting equivalencies for non-instructional duties without establishing a minimum teaching assignment invalidates the teaching assignment standard. The current policy would permit an *instructional faculty* member to be relieved of *all instructional responsibilities* by replacing classroom instructional duties with non-instructional equivalencies.

***Baccalaureate degree campus faculty have a disproportionately lighter workload than community college faculty***

The ambiguity of the board's policy also results in a disparity between the teaching assignments for instructional faculty at the community colleges and their counterparts at baccalaureate degree campuses. Under the policy, the standard teaching assignment workload for full-time faculty at Manoa, West Oahu, and Hilo campuses is 24 semester credit hours (equivalent to 8 three-semester credit hour courses) per academic year. The standard established for community college faculty is 30 semester credit hours (equivalent to 10 three-credit semester hour courses) per academic year. (A semester credit hour refers to the hours of credit that students receive for successfully completing a course.)

If the board's standard were interpreted to apply exclusively to teaching assignment responsibilities, the additional semester credit hour requirement for community college faculty would appear reasonable. Community college faculty are required to teach more because they engage in less research and service activities. However, we found that every campus interprets the board policy to include the faculty research and service components. The all-inclusive interpretation results in a total workload requirement for community college faculty that is six semester credit hours more per academic year than their counterparts at the four-year campuses.

***Ambiguous teaching assignment policy affects course offerings and instructional costs***

The board's poorly defined teaching assignment policy can also have a negative impact upon the university's students. University policies should ensure that students attain their post-secondary education objectives in a timely manner, that they receive high quality instruction, and that they have access to sufficiently diverse course offerings. The number of courses each faculty member teaches has an impact upon the number and range of courses that the university can make available to students.

During Fall 1994, the university offered an estimated 6,183 classes systemwide. We made this estimate by dividing the total equivalent semester credit hours offered systemwide by 3 semester credit hours, the most prevalent semester credit hour value assigned to courses.

We calculated the number of classes which could have been offered if the university had taken even modest steps to increase instructional faculty teaching workload. If all faculty had increased their workload by one to three semester credit hours per semester, as requested by the university president in 1996, we estimated that more than 3,000 additional courses could have been made available to students.

Increased course availability would not result in increased costs, and could actually reduce payroll costs for the university. Faculty are paid fixed salaries regardless of the number of courses taught. If faculty increase the number of classes they teach, the total course offering would grow without increasing the instructional cost. In contrast, lecturers are typically paid \$3,500 per three credit course.

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**Unequal Workloads Have Not Been Justified**

Teaching assignments should ensure that the instructional needs of students are met cost-efficiently, and in a fair and equitable manner. However, the lack of clear direction from the Board of Regents coupled with the administration's failure to properly implement and enforce its own administrative teaching assignment policy has resulted in unequal teaching assignments at all levels that have not been justified.

Credit for non-instructional duties is inadequately defined and inconsistently applied, resulting in faculty receiving unequal credit for similar duties. In addition, reductions in teaching assignments are granted without proper review and documentation to justify the uneven teaching assignments. As a result, faculty fail to comply with their own departmental teaching policies and control over lecturer costs is not maximized.

***Teaching workloads vary widely***

The university has failed to properly monitor teaching assignments systemwide. Consequently, teaching assignment standards and practices vary significantly among colleges and departments. A Manoa campus survey acknowledges this fact. In addition, the university's *Departmental Activity and Instructional Workload Measures for Fall 1994* reveals disparities in teaching assignment workloads among campuses and programs with similar missions. Such disparities will continue until the university establishes clear workload standards and ensures that each faculty member adheres to them.

**Variation among campuses is difficult to justify**

Although some variation in campus teaching assignment workloads can be due to differing campus missions, a minimum teaching standard should specify how campus missions affect that standard. Without a clear standard, notable variations in faculty teaching assignments among the university campuses are difficult to explain and justify.

We identified the average number of semester credit hours taught by faculty on each of the ten campuses during the Fall 1994 semester, first using fixed semester credit courses and then adding variable semester credit courses to the calculation. Fixed semester credit courses are those in which every student receives the same number of credits. Variable semester credit courses are those in which the number of credits received may vary among students. These courses include directed reading, thesis, and dissertation research. The results are displayed in Exhibit 2.1. Among the four-year campuses, Manoa faculty taught the least, an average of 6.17 fixed semester credit hours and 8.10 variable and fixed semester credit hours for Fall 1994. West Oahu faculty taught 1.2 variable and fixed or 2.5 fixed semester credit hours more than Manoa faculty.

The variations in teaching assignments as shown in Exhibit 2.1 cannot be adequately explained by the diverse campus missions. While each of the community colleges has a similar mission, Leeward faculty had a heavier teaching assignment load than faculty at the other community colleges. In greatest variation, the average Leeward faculty teaching load was 20 percent higher than the average Maui faculty teaching load.

We also reviewed the average teaching assignment workload for specific programs and compared the results across campuses when applicable. Exhibit 2.2 shows that significant variations exist which cannot sufficiently be explained by the varying campus missions. For example, for Fall 1994, nursing faculty at Hawaii and Maui community colleges taught approximately four semester credit hours while Hilo campus nursing faculty taught twice that amount. The teaching workload for nursing faculty at these two community college campuses was even slightly below the teaching assignment of nursing faculty at Manoa, who are expected to conduct more research.

**Exhibit 2.1**  
**Average Teaching Assignments of Instructional Faculty**  
**by Campus**  
**Fall 1994**

Campus	Semester Credit Hours (SCH) Per Faculty Member	
	Average Number of Fixed SCH	Average Number of Fixed and Variable SCH
Manoa	6.17	8.10
West Oahu	8.70	9.30
Hilo	8.48	9.01
Honolulu CC	11.35	11.41
Kapiolani CC	11.39	11.41
Leeward CC	13.11	13.11
Windward CC	12.31	12.52
Hawaii CC	10.97	11.08
Kauai CC	10.71	10.71
Maui CC	10.38	10.54
Community College Average	11.59	11.65

Note: The average number of fixed semester credit hours (SCH) is the total number of semester credit hours assigned to each class and divided by the number of instructional faculty at each campus. The average fixed and variable semester credit hours includes variable credit classes such as thesis and dissertation research, senior projects, practicums, and other individualized instruction.

Source: University of Hawaii, Institutional Research Office (March 1995).  
*Departmental Activity and Instructional Workload Measures for Fall 1994.*

**Exhibit 2.2  
Average Teaching Assignments by Campus and Department  
Fall 1994**

Campus	Chemistry		Oceanography		Economics		Psychology		Accounting		Education		Nursing	
	Fixed	Fixed & Variable	Fixed	Fixed & Variable	Fixed	Fixed & Variable	Fixed	Fixed & Variable	Fixed	Fixed & Variable	Fixed	Fixed & Variable	Fixed	Fixed & Variable
Manoa	5.49	7.49	2.98	7.65	5.19	8.09	7.12	10.11	6.52	6.76	9.15	10.06	4.71	5.24
West Oahu	n/a	n/a	n/a	n/a	12.00	12.00	7.39	8.87	n/a	n/a	n/a	n/a	n/a	n/a
Hilo	6.54	7.59	n/a	n/a	8.01	8.21	8.71	9.71	4.52	4.52	8.51	9.07	8.67	8.67
Honolulu CC	13.00	13.00	14.06	14.06	15.00	15.00	15.00	15.00	9.00	9.00	6.43	6.53	n/a	n/a
Kapiolani CC	14.04	14.04	n/a	n/a	13.64	13.64	13.00	13.00	12.45	12.45	15.00	15.00	8.43	8.43
Windward CC	12.00	12.00	10.64	10.64	15.00	15.00	14.40	14.40	15.29	15.29	n/a	n/a	n/a	n/a
Leeward CC	12.31	12.31	13.64	13.64	15.00	15.00	15.63	15.63	14.25	14.25	n/a	n/a	n/a	n/a
Hawaii CC	n/a	n/a	12.00	12.00	n/a	n/a	8.00	8.00	14.38	14.38	13.00	13.00	3.60	3.60
Kauai CC	4.79	4.79	n/a	n/a	15.00	15.00	15.00	15.00	14.72	14.72	14.00	14.00	7.86	7.86
Maui CC	15.38	15.38	12.00	12.00	15.00	15.00	14.88	15.70	6.67	6.67	12.36	12.36	4.38	4.54

Note: The average number of fixed semester credit hours (SCH) is the total number of semester credit hours assigned to each class and divided by the number of instructional faculty at each campus. The average fixed and variable semester credit hours includes variable credit classes such as thesis and dissertation research, senior projects, practicums, and other individualized instruction.

Source: University of Hawaii, Institutional Research Office (March 1995)  
Departmental Activity and Instructional Workload Measures for Fall 1994.

**Variations also exist within colleges**

We also found inequities in teaching assignment workload among faculty working within the same college. For example, Exhibit 2.3 shows the range in teaching assignments among programs within Manoa's College of Natural Sciences. For Fall 1994, average program teaching assignments ranged from 4.57 to 16.32 fixed semester credit hours and from 6.92 to 16.32 semester credit hours when variable credit classes are included. We also found variations among program teaching assignments within all colleges examined at the baccalaureate campuses and most divisions at the community colleges.

**Exhibit 2.3  
Average Teaching Assignments of Manoa Instructional Faculty at the College of Natural Sciences by Program Fall 1994**

Program	Semester Credit Hours (SCH) Per Faculty	
	Average Number of Fixed SCH	Average Number of Fixed and Variable SCH
Biology	16.32	16.32
Botany/Botanical Science	5.35	8.53
Chemistry	5.49	7.49
Information and Computer Science	7.86	8.61
Mathematics	6.72	6.92
Microbiology	6.27	10.05
Physics and Astronomy	5.22	6.96
General Science	11.83	11.83
Zoology	4.57	8.92
College Average	6.33	8.01

Note: The average number of fixed semester credit hours (SCH) is the total number of semester credit hours assigned to each class and divided by the number of instructional faculty at each campus. The average and variable semester credit hours includes variable credit classes such as thesis and dissertation research, senior projects, practicums, and other individualized instruction.

Source: University of Hawaii, Institutional Research Office (March 1995), *Departmental Activity and Instructional Workload Measures for Fall 1994*.

### **Other variations exist within departments**

In addition, we found variations in teaching assignment workload among faculty teaching in the same department. The variation is particularly wide at Manoa's Department of Oceanography where faculty often share split research and instructional appointments. The only faculty member with a 100 percent instructional position had a smaller instructional workload than faculty with instructional appointments of 50 percent or less. This faculty member supervised only three graduate students taking variable credit courses during the 1994-95 academic year.

Widespread workload disparity within departments is not unique to the Manoa campus. We also noted disparities in many departments at all campuses. Department chairs often noted during our audit that faculty with already lowered teaching assignments were given further teaching assignment reductions in exchange for administrative, research, or service activities. However, the university's failure to properly enforce the requirements to document assignment reduction requests and to submit year-end reports makes it difficult to assess whether the unequal teaching assignments were justified and fair.

### ***Equivalencies for non-classroom teaching duties are inadequately defined and inconsistently applied***

Faculty workload may include instructional, research, and service components. To standardize workload measures systemwide, the Board of Regents directed the chancellors to develop "equivalencies" for activities other than classroom lectures, such as serving as a department chairperson.

The president and chancellors have not met the board's mandate that standardized equivalencies be developed by the chancellors, approved by the president, and implemented at all campuses. Only the chancellor of the community colleges established equivalencies in 1991, well after the date the equivalencies were to be implemented. However, the community college equivalencies do not comply with board requirements. In addition, the lack of standardized equivalencies for the baccalaureate campuses has resulted in the granting of unequal equivalencies for similar work.

### **Community colleges' attempt to standardize equivalencies needs improvement**

The community colleges have attempted to standardize equivalencies for non-classroom teaching duties by clarifying when equivalencies are to be used and by identifying standard teaching assignment reductions to be

used for a variety of non-classroom activities. Some courses offered at community colleges are not taught in a standard lecture format. Equivalencies for these types of courses, which include a mix of lecture and laboratory instruction, must also be developed. The policy is currently inadequate because it does not clearly identify these courses and it does not identify the equivalent semester credit hours to be applied to them. Consequently, faculty teaching them receive disparate equivalencies.

The administrative teaching assignment policy requires that equivalencies include: (1) a description of the professional activities for which equivalencies may be granted; (2) an explanation of the relationship of the activity to the institutional program mission and priorities; and (3) guidelines for determining the circumstances which warrant the granting of equivalencies. Such criteria are designed to ensure standardization and consistency in the application of equivalencies for specific non-standard lecture format courses and non-instructional duties. The community colleges' equivalencies do not clearly meet the latter two specifications.

Furthermore, the community college equivalency policy does not clearly identify the non-lecture format courses to which equivalencies are to be applied. Rather, the policy specifies that equivalencies based on weekly contact hours and the number of students registered in a course be applied to a broad range of academic fields, including basic skills courses. Weekly contact hours are based upon the actual class contact time that a faculty member has with students rather than the credit that is given to a student for taking the class. As a result, the community colleges do not uniformly calculate equivalencies.

Furthermore, we found equivalencies that are granted for similar non-instructional duties also vary. These equivalencies appear to match the number of semester credit hours that faculty need for compliance with the board's teaching assignment standard, rather than the amount of time to be expended on a project. In one instance, two faculty members who submitted identical written justifications for instructional release time for the same project were granted different equivalencies. One instructor, who was already teaching 14 semester credit hours, was granted an equivalence of 1 semester credit hour, thus meeting the 15 semester credit hour teaching requirement. The other instructor, who already had the equivalent teaching of 12 semester credit hours, was granted 3 additional semester credit hours based on the identical justification, and thus also met the 15 semester credit hour teaching requirement.

The community colleges' equivalency policy clearly identifies the amount of instructional release time that faculty serving as department or division chairs at each campus are to receive. This is an example of the

proper application of these equivalencies. Similar identification of equivalencies for other non-instructional duties could be helpful in ensuring that equivalencies are implemented uniformly throughout the community colleges.

### **Equivalencies for similar non-instructional work are unequally applied at baccalaureate campuses**

Failure to ensure the development and approval of standard equivalencies for non-instructional and non-classroom teaching instruction at Manoa, West Oahu, and Hilo has resulted in the uneven application of equivalencies for similar non-instructional duties. A range of equivalencies for administrative functions are granted by college deans and department chairs, such as serving as a department chair or being a member of the faculty senate.

As shown in Exhibit 2.4, department chairs at the Manoa campus received between 3 and 12 semester credit hours per academic year in equivalencies. Hilo department chairs received equivalencies ranging from 0 to 18 semester credit hours per academic year. Each Manoa department established its own equivalency for its chair. Hilo attempted to address the unevenness in equivalencies granted to department and division chairs by requiring that division chairs receive more release time than department chairs, and that department chairs of major departments receive more release time than other department chairs.

However, Hilo's policy does not identify what constitutes a major department. In addition, the determination of the actual amount and type of release time is delegated to the provosts and deans. As a result, it is difficult to assess whether the variation in equivalencies at Hilo is both fair and justified. Criteria such as the number of faculty assigned to a department, as used by the community colleges, can be used to develop a fairer methodology for the granting of equivalencies.

**Exhibit 2.4  
Instructional Faculty Teaching Assignments and  
Teaching Assignment Reductions for Department  
Chairs at Manoa  
Academic Year 1994-95**

School or Department	School/Department's Standard Teaching Assignment (SCH)	Standard Instructional Release Time for Faculty Serving as Chair (SCH)	Standard Teaching Assignment for Faculty Serving as Chair (SCH)
Asian Studies	12	9	3
Anthropology	12	6	6
Dental Hygiene	24	12	12
Economics	12	6	6
Educational Foundations	18	6	12
History	12	6	6
Linguistics	12	6	6
Mechanical Engineering	12	9	3
Music*	15	9	6
Nursing**	12-18	6-12	6
Zoology	9	3	4.5

Notes: \* The chair of the music department did not teach any courses up until academic year 1995-96.

\*\* The Nursing department's standard is based on equivalent semester credit hours which grants semester credit hours for each clinical credit.

**College-wide  
assignment reductions  
violate administrative  
policy**

Schools and colleges at the Manoa, West Oahu, and Hilo campuses grant college-wide teaching assignment reductions to their respective faculty. This practice violates the *Administrative Teaching Assignment for Instructional Faculty* policy which requires faculty to submit requests for teaching assignment reductions and to subsequently submit year-end reports describing their non-instructional activities.

Consistently enforcing this two-phase reporting system would enable department chairs to fairly and appropriately evaluate whether a lighter teaching assignment for an individual faculty member is justified and would enable the chair to subsequently determine whether release time devoted to non-instructional duties was productive and relevant to college, campus, and university missions.

Granting college-wide teaching assignment reductions to all faculty without proper justification means that faculty at the Manoa campus are not being held accountable for non-teaching duties comprising between 25 percent to 75 percent of their workload. Similarly, faculty at Hilo and West Oahu campuses are not held accountable for non-teaching duties comprising 20 percent of their workload. For example, as shown in Exhibit 2.5, faculty in the School of Public Health are required to teach only 12 semester credit hours per year, just one-half of the board's 24 hour semester credit hour standard. Some faculty within the College of Languages, Linguistics, and Literature, the College of Engineering, the School of Law and the School of Library and Information Sciences are also required to teach only 12 semester credit hours per year.

**Exhibit 2.5****Standard Instructional Teaching Assignments and Release Time for the University of Hawaii System**

	Standard Instructional Teaching Assignment SCH	Standard Instructional Release Time SCH
<b>UH Manoa (24 SCH BOR Requirement)</b>		
College of Arts & Humanities	15	9
** College of Languages, Linguistics, & Literature	12-18	6-12
College of Natural Sciences	*N/A	N/A
College of Social Sciences	*N/A	N/A
College of Business Administration	12-18	6-12
College of Education	18	6
College of Engineering	12-18	6-12
College of Tropical Agriculture and Human Resources	18	6
School of Medicine	*N/A	N/A
School of Nursing	*N/A	N/A
School of Public Health	12	12
School of Social Work	15	9
School of Architecture	16	8
School of Hawaiian, Asian, & Pacific Studies	*N/A	0-9
School of Law	6-12	12-18
School of Library and Information Sciences	12-18	9
School of Ocean & Earth Sciences & Technology	*N/A	N/A
School of Travel Industry Management	18	6
<b>UH Hilo (24 SCH BOR Requirement)</b>		
College of Arts & Sciences	18	6
College of Agriculture	18	6
<b>UH West Oahu (24 SCH BOR Requirement)</b>		
Humanities Division	18	6
Professional Studies Division	18	6
Social Sciences Division	18	6
<b>Community Colleges (30 SCH BOR Requirement)</b>		
All Seven Colleges	30	0

Notes: \*N/A indicates the school or college does not have a standard instructional teaching assignment policy or the existing policy does not use semester credit hours (SCH).

\*\* The College of Languages, Linguistics, and Literature does not have a college instructional teaching assignment standard. The range of 12-18 SCH included in this table is derived from the standards of the six departments within this college.

Source: Teaching assignment policies of colleges, schools, and divisions identified.

The university's administration should have been alerted by the improper college-wide reductions being granted. At the request of the university's president, the executive vice-chancellor surveyed each of the college deans at the Manoa campus during Spring 1995 to identify how the deans were implementing the *Administrative Policy on Teaching Assignments*. Our review of the deans' written responses indicated that 13 out of 17 colleges/schools allowed college-wide teaching assignment reductions without requiring the proper request, review, and year-end report.

Although the deans' responses made the administration aware of this non-compliance, the administration did not take corrective action. Instead, the executive vice-chancellor's May 5, 1995 memorandum to the president reported that "...the deans have informed me that they are complying with Board policy and are confident that the standard teaching assignment averages 24 semester credit hours per academic year."

### **Manoa's faculty do not satisfy their own departmental teaching assignment policies**

Eighty percent of the departments at Manoa that we reviewed reduced faculty teaching loads even further than what we have just described. In addition, 19 of the 22 departments we reviewed did not require faculty to submit either the written requests for instructional release time and the year-end reports describing the activities for which the instructional release time was granted.

For example, the anthropology department approved additional teaching assignment reductions for 14 percent of its faculty although the department had already granted all faculty 18 semester credit hours in teaching equivalencies for other responsibilities. As a result, these faculty taught only three courses during academic year 1994-95. Similar reductions were granted to faculty in other departments resulting in faculty not meeting their own departmental teaching assignment policies, as shown in Exhibit 2.6.

### ***Community colleges grant teaching assignment reductions without sufficient review***

The requirements for instructional workload reductions are most clearly defined at the community colleges. The community colleges chancellor's office developed forms for the submittal of instructional workload reduction requests, year-end reports, and campus annual summaries that detail the teaching assignment reductions for a given academic year. These forms are all in accordance with the

## Exhibit 2.6

### Manoa Faculty Teaching Below College and Department Instructional Standard

College/School	College Teaching Assignment Standard SCH	Percent of Faculty Below College Teaching Assignment Standard	Department Teaching Assignment Standard SCH	Percent of Faculty Below Department Teaching Assignment Standard
School of Architecture	16	30%	N/A	N/A
College of Arts and Humanities History Music	15 15	25% .04%	12-15 None	0% N/A
College of Language, Linguistics, and Literature Linguistics	N/A	N/A	12	17%
College of Natural Sciences Zoology	None	n/a	9	11%
College of Social Sciences Anthropology Economics	None None	n/a n/a	12 12	14% 25%
College of Business Administration *Accountancy	12-18	0%	None	N/A
College of Education Education Foundations	18	67%	N/A	N/A
College of Engineering Mechanical Engineering	12-18	33%	None	N/A
School of Hawaiian, Asian, and Pacific Studies Asian Studies	None	N/A	12	0%
School of Medicine Biochemistry and Biophysics	None	N/A	None	N/A
School of Nursing Dental Hygiene Nursing	None None	N/A N/A	17-19 wkly. cntct. hrs. 12-14 wkly. cntct. hrs.	23% 6%
School of Public Health	12	35%	N/A	N/A
School of Social Work	15	75%	N/A	N/A
School of Law	6-12	17%	N/A	N/A
School of Library and Information Sciences	12-18	25%	N/A	N/A
School of Ocean and Earth Sciences and Technology Oceanography	N/A	N/A	*6	8%
School of Travel Industry Management	18	73%	N/A	N/A
College of Tropical Agriculture and Human Resources Environmental Biochemistry Human Development	18 18	50% 43%	None 18	N/A 64%

Notes: Equivalent semester credit hours (SCH) were not factored into faculty teaching assignment workloads because they have not been approved by the University of Hawaii President as required by BOR Policy 9-16, *Teaching Assignments for Instructional Faculty*.

\* The School of Accountancy required all faculty to have teaching assignment reductions approved by the Dean of College of Business Administration.

\*\* The Department of Oceanography does not have a standard teaching assignment; however, 6 SCH per academic year is considered the absolute minimum instructional teaching load.

N/A refers to schools which do not have separate departments. N/A also refers to school of Ocean and Earth Science Technology which bases its teaching assignment standard on a point system rather than SCH. Education Foundations is not a department; therefore, the department teaching standard is N/A.

administrative policy on instructional workload reduction and allow the chancellor to monitor the amount of instructional release time faculty are granted. However, we found these forms are inconsistently and inaccurately completed. In addition, campus annual summaries submitted to the chancellor's office underreport instructional releases granted to faculty.

Faculty are granted reductions without proper documentation. The Windward and Maui campuses granted teaching assignment reductions approximately equivalent to 100 courses without requiring faculty to submit teaching assignment reduction requests or year-end reports.

In addition, not all reductions are properly reported. The summary teaching reduction report for the Kapiolani campus indicated a 404 semester credit hour reduction for the academic year 1994-95. However, our review of reduction documentation found that an additional reduction of 88.5 semester credit hours was not listed in the campus summary report. Similar discrepancies were noted for the Honolulu, Windward, and Kauai campuses.

Campus teaching assignment reduction summary reports are intended to assist the community college chancellor in monitoring teaching assignment reductions. However, because the campuses underreported the reductions by 167.5 semester credit hours or the equivalent of almost 56 three-credit courses, the usefulness of these reports is questionable.

***Personnel costs could be reduced if policy were followed***

The university uses lecturers to replace faculty on leave, to cover courses which are highly specialized, and to cover for faculty who are receiving teaching assignment reductions. The use of lecturers is intended to augment and complement instruction offered by regular faculty. Lecturers serve a useful purpose and are an integral part of the university's strategy to provide quality instruction. However, we found that lecturers are sometimes utilized unnecessarily. We also found that instructional costs could be decreased by reducing the amount of teaching assignment reductions granted to faculty and increasing their teaching assignment workload.

The executive vice-chancellor of Manoa reported to the university president that the Manoa campus colleges estimated 555 Fall 1995 course sections would be taught by lecturers at a cost of \$1.8 million. The report also noted that full-time faculty teaching in colleges with high use of lecturers generally taught only two or three courses during the fall semester.

We reviewed the costs of hiring lecturers in 22 Manoa campus departments for academic year 1994-95. After identifying courses that had different sections taught by both lecturers and instructional faculty,

we determined which of these instructional faculty were teaching less than what the board's policy called for. We found that over \$166,000 expended for lecturers could have been saved if these instructional faculty had taught an additional section of the course.

### **Hilo campus reduced costs through a closer monitoring of workload**

Improved monitoring of faculty release time at the Hilo campus contributed to reduced lectureship costs by \$100,000. Beginning with the 1995-96 academic year, the chancellor of West Oahu and Hilo required all faculty to submit a faculty account activity audit and instructional release requests. The faculty activity account audit requires faculty to list courses they will be teaching in the upcoming semesters and to detail their involvement in research, service, or administrative assignments.

Similar monitoring efforts at all campuses would be consistent with the administrative teaching assignment policy and help ensure that lecturer utilization is warranted.

Although the implementation of this management control at West Oahu and Hilo is a positive step, we did note that many faculty improperly listed projects and activities worked on during *previous* semesters to justify their workload for the *upcoming* school year. The vice-chancellor of the Hilo campus has reminded faculty that past activities should not be used to request teaching assignment reductions for the upcoming semester.

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### **Other Personnel Practices Lead to Unnecessary Costs**

Overload employment refers to services rendered by faculty members within the university system that are above and beyond their regular workload assignments. We found that requests for overload payment are being approved although faculty do not provide sufficient documentation to justify overload. Some faculty are paid for overload assignments without meeting the overload criteria. In addition, we found that one professor was paid about \$128,000 for instructional and administrative responsibilities although he did not teach the courses for which he was paid.

#### ***Faculty are paid overload supplements without proper justification***

University policies permit faculty to engage in overload work. Under terms of the 1993-1995 contract between the Board of Regents and the University of Hawaii Professional Assembly (the faculty union), to qualify for overload teaching, faculty at the Manoa, Hilo, and West Oahu campuses must teach at least nine semester credit hours or the equivalent during a semester. During academic year 1994-1995, the university expended \$4.8 million in overload compensation to faculty members.

We reviewed overload files for 52 regular faculty members who taught at Manoa's College of Continuing Education and Community Service for the 1994-1995 academic year. Approximately 20 percent of those faculty did not teach the required nine semester credit hours to qualify for overload teaching. Our analysis was based only on semester credit hours since the university has not established uniform equivalents for course work and equivalent credits were generally not documented on the overload justification forms.

In addition, several faculty who were paid a total of \$33,998 for overload did not identify the courses they would be teaching as part of their regular teaching load. Without this information, the university could not determine whether these faculty members qualified for overload.

***An individual was compensated for services not provided to the university***

We also found that the university improperly paid a foreign national approximately \$128,000 to direct the Law of the Sea Institute and to teach law courses. This individual, being a foreign national, required a work visa before he could be appointed to the position. However, he was unable to obtain the proper visa and actually taught just one class between the Fall 1993 and Spring 1995 semesters; nevertheless he received a full salary during that period. This incident illustrates the university's poor control over faculty resources and its insufficient monitoring of actual teaching assignments. In addition, by hiring a foreign national who could not legally work in the United States, the university exposed the State to potential penalties for violating the Immigration and Nationality Act.

---

## **Conclusion**

The Board of Regents is responsible for ensuring that the resources of the University of Hawaii are efficiently and effectively utilized. In our 1981 management audit of the university, we noted that control over faculty workload was critical to enhancing faculty productivity and ensuring the effective utilization of the university's most valuable resource. The university has established board and administrative policies on faculty workload, but the policies fail to provide the clarity and direction needed to ensure that meaningful faculty workload standards are implemented. As a result, the university continues to be unable to ensure that faculty are utilized in an effective manner to meet the needs of the university and its students.

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## Recommendations

1. The Board of Regents of the University of Hawaii should clearly state the amount of time instructional faculty at each campus must direct to the teaching, research, and service components of their work. A minimum teaching assignment should be identified for instructional faculty at each campus.
2. The president of the university should do the following:
  - a. Require the chancellor of each campus to clearly identify non-lecture courses and to develop equivalencies for these courses to be used for calculating teaching assignments;
  - b. Review these equivalencies to ensure equity across campuses;
  - c. Issue a report to all chancellors identifying the courses for which equivalencies are approved;
  - d. Review university policies with college provosts, deans, and department chairs to ensure that faculty overload requests are processed in accordance with terms of the current agreement between the Board of Regents and the University of Hawaii Professional Assembly.
  - e. Issue a directive disallowing the practice of college-wide teaching assignment reductions.



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## Responses of the Affected Agencies

### Comments on Agency Responses

We transmitted drafts of this report to the Board of Regents and the president of the university on March 24, 1997. A copy of the transmittal letter to the Board of Regents is included as Attachment 1. A similar letter was sent to the president. The Board of Regents and the president responded jointly. This response is included as Attachment 2.

The board and the president generally disagree with our audit findings regarding the adequacy of the current board teaching assignment policy. They state the policy is clear and that it purposely provides for judgments and variability in the implementation process.

The board and president acknowledge university policy requires equivalencies and overload to be documented. They state failure to adhere to these requirements will be reviewed to determine whether revisions to the current policies are necessary and to ensure consistent implementation of these policies.

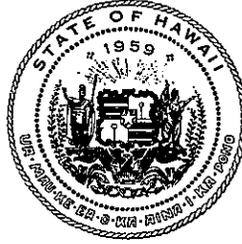
The university defended many of the actions we cited in our report. With respect to the issue of improper overload payments the university responded by conducting its own internal audit. It concluded that 26 percent of these files lacked documentation necessary for overload eligibility; nevertheless the university claims all overload compensation was justified.

With respect to the issue of the Director of the Law of the Sea Institute receiving compensation for services not rendered, the university confirmed that the professor taught only one law school course during his employment and devoted the remainder of his time to the administration of the institute. However, we note that half of his salary was paid from the institute account and half from the law school account. He was employed by the university for 18 months but was not physically in Hawaii for much of that time. In a March 28, 1996 correspondence to us, the current law school dean indicated that this professor's contracted duties called for teaching one course a semester. Furthermore, university policy required that the appointment of this professor be contingent upon the receipt of a pending work visa. This professor did not receive the required visa but continued to be employed by the university. We stand on our conclusions in this report.

The university indicated faculty expenditures identified in the draft report were inaccurately calculated by us. On the contrary, our calculations were based upon expenditure data as presented by the university. Amendments were made to reflect the revised presentation of this data.

ATTACHMENT 1

STATE OF HAWAII  
OFFICE OF THE AUDITOR  
465 S. King Street, Room 500  
Honolulu, Hawaii 96813-2917



MARION M. HIGA  
State Auditor  
(808) 587-0800  
FAX: (808) 587-0830

March 24, 1997

COPY

Mrs. Lily K. Yao, Chairperson  
Board of Regents  
University of Hawaii  
2444 Dole Street  
Honolulu, Hawaii 96822

Dear Mrs. Yao:

Enclosed for your information are three copies, numbered 9 to 11 of our draft report, *Audit of the University of Hawaii's Management of Faculty Workload*. We ask that you telephone us by Thursday, March 27, 1997, on whether or not you intend to comment on our recommendations. If you wish your comments to be included in the report, please submit them no later than Wednesday, April 2, 1997.

The University of Hawaii, Governor, and presiding officers of the two houses of the Legislature have also been provided copies of this draft report.

Since this report is not in final form and changes may be made to it, access to the report should be restricted to those assisting you in preparing your response. Public release of the report will be made solely by our office and only after the report is published in its final form.

Sincerely,

A handwritten signature in cursive script, appearing to read 'Marion M. Higa'.

Marion M. Higa  
State Auditor

Enclosures



# Board of Regents of the University of Hawai'i

April 7, 1997

*Chairperson*

Mrs. Lily K. Yao

*Vice Chairperson*

Ms. Momi W. Cazimero

*Members*

Mr. Joseph F. Blanco

Mr. John A. Hoag

~~Judge Shunichi Kimura~~

Mr. Bert A. Kobayashi

Mr. Clyde T. Kodani

Ms. Ah Quon McElrath

Mr. Lee A. Ohigashi

Mr. David B. Ramos

Ms. Donna A. Tanoue

Mr. Stanley H. Roehrig

The Honorable Marion Higa  
State Auditor  
Office of the Auditor  
465 S. King Street, Room 500  
Honolulu, HI 96813-2917

RECEIVED

APR 7 11 03 AM '97

OFFICE OF THE AUDITOR  
STATE OF HAWAII

Dear Ms. Higa:

The University of Hawai'i Board of Regents and administration appreciate the opportunity to comment on the draft report entitled *Audit of the University of Hawai'i Management of Faculty Workload*, which we received on March 24, 1997. We recognize the time and effort that it took to prepare this report on the instructional component of faculty workload, and we thank you for extending the deadline for our response.

## RESPONSE TO AUDIT RECOMMENDATIONS

**The Office of the President will address, as appropriate, management issues associated with implementation of the Board of Regents policy on teaching assignments.** In addition, the administration has prepared a detailed response including specific actions that address, as appropriate, the specific concerns raised throughout the audit. These are summarized in Attachment 1.

Recommendations on page 25 of the audit.

1. We disagree with the findings, conclusions, and recommendation regarding the adequacy of the Board of Regents policy on teaching assignments. We summarize our position on this matter below and in Attachment 1.
2. The recommendations relating to equivalencies for non-lecture modes of instruction are an extension of current University practices that will continue to be refined and incorporated into routine reports.
3. The administration has already taken action to address the recommendation relating to the management of overload in accordance with existing requirements. While our independent review did not find overload paid to any who did not qualify, both reviews demonstrate the need to review documentation requirements, revise forms as appropriate, and ensure compliance.

2444 Dole Street  
Bachman Hall 209  
Honolulu, Hawai'i 96822  
(808) 956-8213

## RESPONSE TO AUDIT FINDINGS

Documentation. We recognize that a broad area of concern outlined in the audit report relates to issues of monitoring and documentation of equivalencies and overload. Some of the documentation the audit found wanting is called for in University policy. This matter will be revisited by the University to ensure that current requirements are reasonable and doable; revisions, if needed, will be developed, and implementation will be consistent with stated requirements.

Cost factors. Any significant increase in courses offered will increase costs. We have not found unjustified overload payments; documentation requirements will be clarified and complied with. Services were rendered by the Law School faculty member cited. Action has been taken to ensure that all hiring of foreign nationals complies with immigration regulations.

Overall analysis. Our most recent assessment and report of faculty workload is entitled *University of Hawai'i Instructional Workload: Report on Current Policy and Practice*, March 14, 1997. Based on this report and related analyses, we comment on this audit as follows:

1. **University of Hawai'i faculty work hard, and their workload is a mixture of responsibilities involving instruction, research, scholarship, public service, and administrative responsibilities, particularly at the academic unit level.**

**All faculty are expected to engage in research or scholarship, remain current in their field, and pursue service activities. These activities are mutually supportive and reinforcing.** Teaching loads are expressed in semester credit hours, but faculty instructional responsibilities extend beyond their time in the classroom. As with other professionals, much of their work occurs outside the public eye. Faculty instructional activities include class preparation, grading, advising, and new course development, as well as working with students on individual or group projects, theses, and dissertations. Faculty are also active in the work of their departments and institutions, participating, for example, in program reviews, personnel reviews, accreditation reviews, and governance activities through the faculty senate or other department, college, and campus committees. Faculty are also involved in research and public service activities, and the mix of faculty time allocated to formalized research and public service varies according to institutional type and discipline. For example, it is required that all faculty at a research university such as UH Mānoa be actively engaged in research. Community College faculty spend more time teaching. The mix at baccalaureate institutions is toward teaching and scholarship/research.

2. **The share of time UH faculty spend on instructional activities equals or exceeds that at like institutions elsewhere. Survey data indicate that UH Mānoa faculty, like their counterparts elsewhere, work 50-plus hours a week, with classroom teaching a major**

**part of their total effort.** We are confident that survey data at our other campuses would reveal similar results.

3. **Board of Regents policy is not ambiguous, unclear, or inadequate. It clearly states that faculty have multiple responsibilities; establishes the classroom teaching standards of 24 semester credit hours *per academic year* at UHM, UHH, and UHWO, and 30 at the UH Community Colleges; explicitly provides for equivalencies within these standards for non-lecture modes and non-instructional activities; and calls for monitoring.**

University administrative policy provides a record of presidential approval of teaching equivalent activities. This policy relates the BOR teaching standards to Unit mission and specifies the types of equivalent activities that make up the mix of faculty responsibilities, including classroom and non-classroom instruction, research and scholarly achievement, professional development, institutional service, advising and counseling, professional service, and public service. The policy notes that the mix of these activities may vary from individual to individual and that the assignment and monitoring of individual faculty instructional and non-instructional assignments are decentralized under the oversight of deans and provosts. This policy was developed in consultation with the faculty and promulgated by the President in 1990.

4. **Valid and reliable data demonstrate that, on average, the amount of time UH faculty spend on teaching fulfills the Board of Regents teaching standards consistent with Unit mission.**

On average in fall 1996, regular faculty taught 8.4 semester hours at UHM, 9.3 at UHH, 10.2 at UHWO, and 11.5 at the UH Community Colleges. (These values include directed reading, thesis, dissertation, student teaching, and variable credit courses.) This factual data means that there was slightly more than a one-course difference from the applicable 12-semester-hour BOR standard at UHM and slightly less than a one-course difference at UHH and UHWO. A Community College calculation for equivalent class contact hours based on established policy indicates an average teaching assignment of 13.5 semester hours, only a half-course difference from the 15-semester-hour BOR standard. In all cases these differences from the applicable BOR standard are "what is left," so to speak, to account for all of the rest of faculty workload (contact hours for different kinds and types of instruction, other non-classroom instruction, teaching preparation and curriculum development, research and graduate education, scholarship, advising and counseling, public service, institutional service, professional development, and other professional duties). **Based on this factual data, a reasonable person would conclude that the University is directing faculty toward the University's teaching priority, monitoring faculty workload, and being accountable.**

5. **The teaching standards established in Board of Regents policy are similar to those at comparable institutions.**

For example, the 12/24 semester credit teaching standard at UHM and the baccalaureate campuses is comparable to the values found in contracts at those public universities with explicit course credit limitations. The 15/30 semester credit or equivalent requirement for Community Colleges is also comparable to practices elsewhere.

6. **Faculty have minimized the impact of recent budget cuts on students by carrying heavier teaching loads, while still maintaining substantial contributions to research and service.**

- Over the last five years regular faculty teaching loads have increased. At UH Mānoa, the overall increase was 10.5%; the 2% increase at the Community Colleges reflects an already high base.
- Regular faculty teach 5% more of the total instructional volume and lecturers teach 5% less than they did five years ago.
- Total student semester hours taught have declined only 2% despite an 18% decline in current service funding, and despite a 6% decline in the number of regular faculty instructional FTE.
- Instructional faculty accounted for \$61M, or nearly half, of the total research and training funding at UHM in 1995-96, and their volume of that total has increased 140% since 1983-84. Instructional faculty from other campuses of the system accounted for another \$10.3M in extramural funding in 1995-96.

The proposition that 3,000 additional courses could be taught without increasing costs is not based in reality and is misleading. There is a limit to the additional teaching faculty can assume. The audit did not take into account the current full workload of faculty, the substantial forgone revenue and serious negative economic impact on the state from a reduced commitment to research and training, preparation and infrastructure costs associated with more courses, nor the demand that would justify this proposition.

7. **The University annually reports in a systematic fashion detailed data on the teaching component of faculty workload for each department/program, by level of instruction, and by type of faculty across all UH campuses.**

The monitoring process at the department/college levels is aided by computer reports that

provide information on individual faculty teaching assignments. In addition, two types of analyses are prepared system-wide: Course Registration Reports and the Departmental Activity and Instructional Workload Measures Reports. These studies provide baseline data on classroom workload measures. This information assists monitoring at the program/college levels and also permits monitoring of average baseline instructional workload across the system. Other related analyses are prepared at the Unit and campus levels.

The use by the auditor's staff of these system-wide reports attests to their validity and reliability. We are confident that they document the major portion of teaching workload as well as any reports that will be found at comparable institutions elsewhere. These reports already include one set of administratively sanctioned equivalencies for various non-lecture modes of instruction. To the extent that it is possible to systematically include in system reports equivalencies for additional non-lecture modes of instruction, e.g., contact hours, without unduly restricting the flexibility needed by program managers, the University will do so.

Here it must be noted that the Community Colleges have developed equivalencies for class contact hours and reported on how they translate into additional semester credit hours. However, the assignment of any equivalencies at the individual level, including those for contact hours, requires professional judgments on the part of program heads and deans/provosts. This makes it difficult for an audit of this sort to replicate their use and appears to account for the audit's finding that these efforts lack uniformity and are inadequate. If this Community College effort is found wanting, then the inevitable variability in equivalencies at the baccalaureate and research campuses will never be found satisfactory in an audit of this sort.

8. **Valid judgments about the adequacy of individual faculty teaching loads require an assessment by professionals in the field of the individual's total workload over time, including the quantity and quality of the teaching, research, and service contribution.**

Looking solely at the teaching component, especially at a Research I institution, is not sufficient. Standardized quantification of the non-teaching part that would result in the sort of uniformity the audit appeared to seek is extremely difficult, if not impossible to achieve. Thus, the exercise of professional judgment by those qualified to do so is essential to the integrity and accountability associated with determining faculty workload.

9. **Variation at a point in time in the teaching component of individual faculty workload is not only allowed for within policy, it should be an expected outcome and is an appropriate use of resources.**

It all depends on "what else is being accomplished," including the volume, quality, and relevance of those accomplishments to program and Unit mission. Overall, a serious

shortcoming of this audit was its inability to deal with the complexity of equivalencies as they apply to individual workload. This is illustrated by the conclusions drawn about the Community Colleges without regard to the equivalent class contact hour data provided.

10. **Variations within departments and across programs, colleges, and campuses can also be expected given Units that have responsibility for different levels and types of instruction, have different program emphases and Unit missions, and employ faculty with different qualifications and for whom there are different expectations.**

For example, the different teaching standard for the Community Colleges reflects the primacy of the teaching mission, all of which is at the lower division. Participation in research is a requirement of employment at a research university, and a review of only the classroom instructional component of workload will not capture this effort. While the broad mission of each community college is similar, the Strategic Plan of the University of Hawai'i and Board of Regents policy provide for differentiation of emphasis and significant variation among community colleges in the programs which are offered. Comparisons of Community College campuses made in the audit did not consider the weekly class contact hours associated with occupational, technical and laboratory instruction. Use of such measures follows standard national community college practice. As an example, Leeward Community College offers predominantly courses in the arts and sciences and business education, taught in standard lecture format. Maui Community College, on the other hand, offers a significant number of occupational, technical, and pre-professional programs, particularly nursing, where the teaching assignment equivalency is based on weekly class contact hours rather than semester credit hours.

11. **The University would not be well served by a policy that calls for the arbitrary assignment (minimum or otherwise) of faculty time to teaching, research, and service without regard to mission, enrollment demand, research opportunities, individual qualifications, the needs of the particular semester, the needs of the community, the need for faculty professional development, the need for University service, and other factors.**
12. **The audit focuses largely on concerns relating to monitoring and documentation, especially at the individual level.**

All units of the system have documentation and reporting requirements. These are being reviewed to ensure reasonableness; revisions, if needed, will be developed and implementation will be consistent with stated requirements. The Mānoa campus is initiating an annual workload and equivalency reporting requirement.

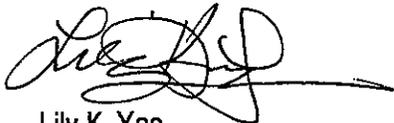
13. **The University is not using lecturers unnecessarily, paying overload to individuals who did not qualify for it, nor paying salary for services not rendered.**

Across the system, lecturers teach only 17% of total instruction, and two-thirds of this is at the Community Colleges, where the workload of regular faculty already approaches the Board standard. At Mānoa, lecturers teach only 11.5% of total instruction, and 83% of this is in colleges and schools where the equivalent semester hours per regular faculty exceed the campus average.

An internal audit of a random sample of CCECS files found that all faculty receiving overload qualified. Also, the faculty member in Law rendered the services he was paid for. When it became clear that his visa status could not be resolved satisfactorily, his resignation was accepted.

The University wants to assure the Legislature and the people of Hawaii that we will continue to be accountable for the efficient and effective utilization of faculty and all other resources. We are committed to providing the Legislature and the public with information on workload and a wide range of related topics. We will continue to monitor carefully instructional effort in light of the Board standards, within the context of budgets and enrollments, and relative to other major outcomes such as the volume of research and a variety of benchmarks and performance indicators. We will continue to give attention to ensuring common understanding of policy requirements and equity in personnel practices, improving documentation where needed, and adding to our common equivalency base for non-lecture modes of instruction. But, most importantly, we will continue to respect and recognize our faculty as professionals, providing them and our administrators with the flexibility needed to serve the state by advancing the University teaching, research, and service missions. Again, we thank you and your staff for your involvement in this important activity.

Sincerely,



Lily K. Yao  
Chairperson, Board of Regents  
University of Hawai'i



Kenneth P. Mortimer  
President, University of Hawai'i and  
Chancellor, University of Hawai'i at Mānoa

Attachments

c: Board Secretary Dan Ishii  
University Executive Council

## UNIVERSITY OF HAWAII

BACKGROUND AND RESPONSES TO SPECIFIC CONCERNS RAISED IN THE  
AUDIT OF THE UNIVERSITY OF HAWAII'S MANAGEMENT OF FACULTY WORKLOAD (3/24/97)

## A. BOARD OF REGENTS POLICY

1. *What are the management roles of the Board and the President?*

As stated in the introductory section of the audit, the Board of Regents is charged with the constitutional responsibility for the "internal organization and management of the University" and further, as defined by statute, the Board "shall have the power, in accordance with the Constitution of the State and with law, to exercise control over the University of Hawaii through its executive officer, the president of the University of Hawaii." The constitution and law clearly define the roles of the Board and "its chief executive, the president of the university." The Board makes policy and the President administers the University by implementing Board policy. The President informs the Board when a policy needs to be reviewed, revised, or replaced. Understanding these management roles provides the overall context and is essential when reviewing any Board policy.

2. *What is the origin of current Board policy on teaching assignments?*

5/81: Board of Regents policy decisions take into consideration political, social, and economic factors that impact the University. In May 1981, the Board of Regents directed then-President Fujio Matsuda to draft a teaching assignments policy for the University of Hawaii. The Board's action was in part a response to the Legislative Auditor's Management Audit of the University of Hawaii (81-9) and subsequent oversight review of this issue by the Hawaii State Legislature. The Board, at that time, was also concerned with the diminution of management rights through union challenges to long-held management practices such as defining teaching loads of faculty. And, on a broader management level, the Board was pushing the state administration for greater administrative flexibility based on the 1978 constitutional amendment that gave the Board "exclusive jurisdiction over the internal organization and management of the University."

6/24/81: President Matsuda transmitted a draft of a teaching assignments policy to Board Chair Tom Shibano. An important aspect of this draft was that it used the term "standard" rather than "minimum" for the prescribed teaching assignment and went on to state that "in no case shall more than one-half of the teaching assignment of any faculty member consist of such [non-instructional] equivalents." It is significant that the de facto minimum

teaching load implied in this early draft was not included in the final Board policy.

7/8/81: The Board's Personnel Relations Committee held an open consultation meeting on the draft policy. Statements were submitted by the University of Hawai'i Professional Assembly indicating that teaching assignments should be negotiated rather than being promulgated unilaterally and that it might file for an HPERB ruling on the matter. The Mānoa Faculty Senate raised a series of technical and policy questions, the Windward Community College Faculty Senate asked that consideration be delayed until faculty returned from summer break, and the UH Mānoa Arts and Sciences faculty criticized the draft policy for being overly specific and rigid: "it is more than a policy, it is a set of procedures."

3. *What does the Board record of deliberation reveal about the scope of the teaching assignments policy: Was it intended to apply only to teaching assignments or did it also provide for equivalencies for the research and service components? Did deliberations reveal a Board position on the matter of minimum requirements?*

11/5/81: The University administration submitted to the Board (memo from Vice President David Heenan to Board of Regents Chair Robert Fujimoto) a revised draft of the teaching assignments policy for review and further consultation. This revision stated that the purposes of the policy are "to reaffirm established instructional norms, to permit educational units to define equivalencies for work other than classroom teaching, to authorize teaching reductions for non-instructional duties, such as important research, and to require unit-level responsibility for monitoring teaching reductions, and the Chancellors become the primary decision point in the implementation of the policy."

11/13/81: The Board's Committee on Personnel Relations held its second open consultation session on the revised draft of the teaching assignments policy. The UHPA reiterated its position that teaching assignments are a matter for collective bargaining but submitted a position paper adopted by its Board of Directors as a means to resolve the issue in a collegial manner. Only two additional faculty members were present for the discussion. The Regents expressed concern over the lack of input by faculty on this important policy.

12/23/81: President Matsuda transmitted to Board Chair Robert Fujimoto the administration's formal proposal for a Board Policy on Teaching Assignments. The major difference between the formal proposal and earlier drafts was the elimination of minimums and maximums to describe "teaching assignments." President Matsuda stated that "the policy as recommended specifies a mechanism within which both instructional and non-instructional

duties can be assigned to our instructional faculty in a way that preserves the flexibility to meet our diverse responsibilities within a framework of accountability."

1/7/82: The Board's Committee on Personnel Relations held a public hearing on the Teaching Assignments Policy. The approved policy sent to the full Board for adoption included the adjective "standard" to describe teaching assignments.

The Board teaching assignments policy clearly allows for equivalencies for non-instructional faculty activities, and it purposely did not establish a minimum teaching requirement. "Standard" used in the context of this policy means normal or typical and allows for equivalencies that can be applied to reduce a faculty member's teaching load below the standard teaching assignments specified in the policy. The current audit presumes that a policy that purposely provides for judgments and variability in the implementation process is an inadequate policy. This assumption and the conclusions that result from it are not justified. The complexity and challenges associated with policy implementation are not determinants of the adequacy of a policy.

4. *Is the Board policy on teaching assignments intended as a mechanism for individual faculty accountability or as a vehicle for institutional accountability? Could a faculty member have all non-instructional responsibilities?*

1/22/82: It is clear that the Board intended this policy as a means to demonstrate institutional accountability. Upon adoption of the policy, Board Chair Robert Fujimoto concluded that: "Standards must be established at all levels by which the institution can demonstrate its commitment to quality higher educational opportunities to the State of Hawai'i, with emphasis on accountability being placed not on the individuals but on the institution. Therefore, it is with a high degree of confidence that the Board now anticipates seeing this policy serve to demonstrate not only the University's willingness to be held accountable, but more importantly, to express the productivity of our instructional faculty."

The auditors' assertion that an enforceable and meaningful policy requires a minimum teaching assignment is mistaken. This assertion presumes an across-the-board application of policy to individuals that was not intended. At a given point in time, a faculty member might have all non-instructional responsibilities. The policy was directed at institutional accountability. That accountability is advanced by the type of aggregate instructional activity contained in the April 1995 *Report on Instructional Workload* and the March 1997 *University of Hawai'i Instructional Workload: Report on Current Policy and Practice*. These types of reports are responsive to BOR Chair Fujimoto's observations about the importance of accountability and faculty productivity.

5. *What evidence is there that the University's teaching assignment policy satisfied the "legislative requirement"?*

3/12/82: The student newspaper *Ka Leo*, in an article entitled "Workload Policy May Be A Reality," quoted State Senator Patricia Saiki, Chair of the Senate Higher Education Committee, as saying that she was satisfied with each of the policies (evaluation of faculty and workload). She expressed optimism with both policies and the University's "sincere efforts to meet the audit's criticism," and concluded by saying: "The Legislature has accepted (evaluation of faculty) and workload policies as being in place at this time. . . Whether they are implemented is up to you" [the faculty].

The subsequent approval of the University budget by the Legislature is a clear indication that the Board's teaching assignments policy was adequate, unambiguous, and precisely clear in its purpose and intent. While the current audit may disagree with Senator Saiki as to the value of the policy and consider the views of one senator as limited, the fact remains that the Legislature as a whole endorsed her statements by approving the University's budget in 1982. The intent and purposes of the policy, as stated above by Vice President David Heenan and Board Chair Robert Fujimoto, are as relevant today as when the policy was adopted in 1982.

6. *What did the HPERB and Supreme Court rulings tell us about the Board of Regents authority to establish teaching assignments policy and the clarity of the policy that was adopted?*

9/19/84: The Hawai'i Public Employees Relations Board (HPERB) issued Decision No. 199, which addressed a series of complaints filed by the UHPA against the Board of Regents that dealt with the promulgation of BOPR 9-15 and 9-16. The HPERB decision contains a precise, clear, and unambiguous interpretation of the teaching assignments policy. HPERB found that "there is no increase in the faculty's working hours caused by Policy 9-16. Prior to its adoption, the 1968 Department Chairman's Handbook set forth the maximum semester load as 12 credit hours or its equivalent for the four-year institutions. With respect to the community colleges, the Faculty Handbook set forth 15 credit hours per semester as the workload. Since Policy 9-16 does not present a change in the faculty's workload, the BOR did not improperly refuse to negotiate the matter prior to the policy's implementation."

8/8/86: The Hawai'i Supreme Court issued a ruling on the appeal of a circuit court decision affirming HPERB Decision No. 199. In its decision, the Supreme Court stated: "We have long held that '[i]n order to preserve the function of administrative agencies in discharging their delegated duties and the function of this court in reviewing agency determinations, a presumption of validity is accorded to the decision of administrative bodies acting within their sphere of expertise.'" The court went on to "defer to the decision of HPERB

and hold that the Regents may implement Policies 9-15 and 9-16." The court's concluding statement was: "We note, however, that neither the workload policy nor the faculty evaluation policy has been time tested. Consequently, there is no way to tell at this juncture whether either policy will in fact impinge upon areas subject to collective bargaining."

The HPERB and Supreme Court actions affirmed the Board of Regents constitutional and statutory authority to exercise control over the "internal organization and management of the University through its executive officer, the President of the University." Both decisions, and HPERB's in particular, affirm the clarity of the Board of Regents teaching assignments policy. Without clarity of purpose and intent, HPERB could not have ruled as it did on UHPA's complaint.

7. *What evidence is there that the Board has held the administration accountable for implementing the teaching assignments policy?*

- 6/27/84: BOR Secretary Tatsuki Shiramizu, in a memo to Acting President Albert Simone, requested a status report on the Board Policy on Teaching Assignments for Instructional Faculty.
- 2/19/87: At the Board's Committee on Personnel Relations, President Simone provided a status report on the teaching assignments policy.
- 10/1/90: President Simone issued the University of Hawai'i administrative policy on teaching assignments for instructional faculty.
- 2/22/94: Board Secretary Shiramizu distributed copies of BORP 9-16 to BOR members following a meeting with the Community College Faculty Senate Chairs.
- 3/24/95: Board Secretary Shiramizu requested a report from President Mortimer on instructional workload at UH Mānoa, UH Hilo, UH-West O'ahu, and the UH Community Colleges.
- 4/13/95: President Mortimer released the *Report on Instructional Workload*, and the administration presented this matter at the April 1995 Board meeting; follow-up information was transmitted to the Board.
- 4/24/95: President Mortimer asked the heads of major academic units to provide him with a report on how the academic workload policies are implemented on their respective campuses.
- 9/95-12/96: The Board was engaged in discussions with President Mortimer on the teaching assignments policy as it related to collective bargaining negotiations

with the faculty union. The administration's annual report on this subject was held awaiting release of this audit, which it expected by late summer 1996.

- 3/14/97: President Mortimer released the document entitled *University of Hawai'i Instructional Workload: Report on Current Policy and Practice*.
- 7/1/97: The University of Hawai'i Board of Regents and the UHPA are scheduled to reopen discussion on teaching equivalencies.

These selected highlights provide evidence of the importance of the teaching assignments policy to the Board and the administration. The lengthy effort (involving participation by UHPA) that resulted in the issuance of the administrative policy, the status reports on the teaching assignments policy, especially in recent years, and the continuing dialogue with the UHPA all attest to the importance this matter holds. Board inquiries on this matter have provided the opportunity for policy review, revision, or replacement. The lack of recommendations to change the policy attests to the adequacy of the policy. Implementation issues are separate and ongoing matters for review and action.

8. *Why is the Community College requirement different from that for the other Units of the system?*

The 15 semester credit hour requirement at the Community Colleges dates to at least 1968 and reflects the primacy of the teaching mission, all of which is at the lower division. This standard is consistent with nationally accepted practice for comprehensive community colleges. Board policy explicitly provides for equivalencies within this standard for instructional contact hours and non-instructional duties, especially the significant service activity of community college faculty, as well as assigned administrative duties.

**B. FACULTY RESOURCES**

9. *What amount and share of general funds were expended for faculty, by type of faculty and by major Unit for 1994-95 and estimated for 1996-97?*

The information in the audit report is incorrect. The audit mistakenly took the data provided for the periods ending October 31, 1994, and March 31, 1995, and added rather than averaged them. The correct average data for FY 1995 follows:

	FY 1995	FY 1997**
Research (R) Faculty	\$ 18,468,727	\$ 11,949,165
Specialist (S) Faculty	13,191,367	9,474,008
Extension Agents (A)	2,245,758	1,918,464
Librarians (B)	3,924,849	2,966,412
Instructional (I) Faculty*	137,693,919	116,357,751
Total	\$175,524,620	\$142,665,800

\* Includes Community College faculty

\*\* As of 12/31/96

10. *What is the General Fund FTE distribution of faculty across types of faculty by major Unit as of fall 1994 and fall 1996?*

Campus	Total		Instr		Resear		Spec		Agent		Lib	
	F94	F96	F94	F96	F94	F96	F94	F96	F94	F96	F94	F96
Mānoa	1,698	1,569	1,224	1,141	185	163	183	172	41	39	65	53
West O'ahu	23	23	21	22							2	2
Hilo	154	146	140	135			6	5			7	6
Comm Coll	816	788	816	788								
Systemwide	2,691	2,526	2,202	2,086	185	163	189	177	41	39	74	61

(Some differences occur due to rounding)

As can be seen by the FTE counts, the effects of the budget cuts are clearly negative across all campuses and classifications of faculty.

### C. POLICY IMPLEMENTATION ISSUES

#### Teaching Load

11. *Has regular faculty workload already increased? Can an additional 3,000 classes be taught without increasing instructional costs?*

**Increased workload.** Despite a significant decline in resources, the workload of regular faculty has increased over the last five years. At the Mānoa campus, the increase has been 10.5%. Currently, across the system, regular faculty handle 5% more of the total instructional effort and lecturers 5% less. This is the case despite a decline of 18% in current service funding and a 6% decline in the regular faculty instructional FTE. At the same time, there has been a 27% increase in total research and training funds attributable to the efforts of all faculty.

**Additional courses.** It cannot be assumed that additional courses can be taught at no increased cost. The audit makes reference to the President's 1996 request that the faculty help the University retain its commitment to student access despite severe budget cuts by teaching additional classes. As the evidence demonstrates, the faculty responded positively to this request. The President's request must be placed in the context of the budget situation and cannot be construed as having applicability across all faculty or all time.

As noted at the outset, faculty work long hours. Conversations across the country about faculty workload quickly turn into discussions about how faculty spend their time, not about working more. While faculty can and have willingly assumed some additional teaching to help

the University through budget cuts, this strategy has definite limits and associated costs. Additional courses taught by faculty who are already fulfilling the BOR teaching standard result in increased overload costs. For example, the Community Colleges document full assignments by their faculty (15 semester hours per regular [SH/reg] faculty). An increase in the number of classes taught would result in increased overload costs. A similar situation exists at other campuses when the current full workload is considered.

Equally important, additional courses taught by faculty who as a result are forced to reduce their research commitment results in serious opportunity costs and a negative economic impact on the state. The research of instructional faculty accounted for \$61M, or nearly half (49%) of UHM's total extramural research and training funds in 1995-96. Instructional faculty from other campuses accounted for \$10.3M in extramural funds. Thus, **the proposition that an additional 3,000 courses could be taught without increasing costs is misleading.** It would significantly impact the distribution of faculty time and, at a campus such as Mānoa, this has serious ramifications for the mission of what is now a Research I university. This shift in faculty effort would lead to a substantial reduction in the extramural funds brought into the state.

Finally, it is an oversimplification to suggest that additional "no cost" courses could be taught without considering student demand, the number and size of existing classes, and the preparation and infrastructure costs of new courses.

**Action:** The University will continue ongoing monitoring of overall teaching loads with attention to loads in areas where teaching by lecturers exceeds Unit averages.

### **Documentation of Release Time**

12. *Are reductions in teaching assignments granted without proper review or documentation? Has detailed documentation of release time (written requests and year-end reports) been required and completed? Have Community College summary reports under-reported teaching reductions?*

**Reductions in teaching assignments are not unilateral decisions by faculty members.** In many cases, reductions are the result of requests from the administration for a faculty member to work on a special project or to carry out an administrative assignment. All requests for reductions are reviewed and approved at the appropriate level.

The documentation format varies across the campuses, but approval requirements are in place. For some parts of the system, the use of uniform equivalencies results in common faculty workload patterns that can be monitored across groups of faculty. The standard assignment reductions used by the UH Community Colleges are a good example. Individual faculty documentation tends to focus on exceptions to the common standards and assigned time requested on an individual basis.

At the Community Colleges, all faculty assignment reductions are approved by either the

campus provost or dean of instruction. These individuals exercise professional judgment in the assignment of faculty to program administration, program and curriculum development, and other non-instructional activities. In accordance with procedures (CCCM #2250), the chancellor's office requires and receives an annual summary report of assigned time reductions of all faculty for instructional and non-instructional duties. For fall 1994, each campus submitted a report of teaching assignment reductions to the Office of the Chancellor for Community Colleges, and these campus summaries were shared with the analysts of the auditor's office. In an examination of these reports for the fall 1994 semester conducted by the chancellor's office, the severe under-reporting that the audit indicates was not found.

In other parts of the system, there is greater variability in equivalencies across and within programs. The monitoring process necessitates individual faculty documentation because of the detailed and complex nature of equivalencies and the importance of quality considerations in areas such as research. Forms now being used by various UHM units are available.

At UH Mānoa, it is customary for faculty members who want release time to carry out research to explicitly request the release time when they write a proposal for extramural funding. The proposal using ORA forms clearly states how much release time the faculty member will need in order to carry out the research. The dean or director who signs the proposal commits himself/herself to providing the release time if the proposal is funded. The dean or director has the option of declining to sign the proposal if he/she thinks the amount of release time requested is excessive or if he/she feels it will be impossible or impractical for the UH to provide the release time. If the proposal is funded, the release time is granted and typically a part-time lecturer is hired to teach the courses that the faculty would otherwise have taught. The ORA Form 5 documents this release time and is signed by the appropriate UH administrators.

**Action:** Documentation requirements and use will be reviewed; corrective action will be taken where necessary to ensure that the requirements are reasonable, allow for needed flexibility, and are complied with.

### Variations

13. *Can variations among campuses with similar missions be justified? Why does Leeward CC have heavier teaching loads than faculty at other community colleges, e.g., 20% higher than at Maui? Why do nursing faculty at Hawai'i CC and Maui CC teach less than Hilo and Mānoa?*

**Variations in instructional workload among campuses with similar missions can be clearly justified.** For example, differences may be attributed to the level of organizational complexity of a campus (e.g., when comparing the number and size of departments or levels of administrative and semi-administrative assignments at UH Hilo as compared to UH-West O'ahu), coordination of multiple campus sites (e.g., Maui Community College's role as

provider of educational services to Moloka'i and Lāna'i), or weekly class contact hour equivalencies.

*Workload at Leeward Community College.* Comprehensive community colleges offer both general education and vocation/technical education. While the broad mission of each community college is similar, the Strategic Plan of the University of Hawai'i and Board of Regents policy provide for differentiation of emphasis and significant variation among community colleges in the programs which are offered. Leeward Community College offers predominantly courses in the arts and sciences and business education, which are taught in standard lecture format. Maui Community College, on the other hand, offers a significant number of occupational, technical, and pre-professional programs, particularly nursing, where the teaching assignment equivalency is based on weekly class contact hours rather than semester credit hours. In fall 1994, Leeward Community College's arts and science and business education classes constituted 90% of all classes offered. In contrast, Maui Community College classes in those same areas constituted only 69% of classes offered. When weekly class contact hours, a nationally recognized standard for assigning teaching load, are factored in, variations in average teaching assignment at all Community College campuses are more in line with one another (e.g., 14.6 at LCC and 14.1 at Maui CC).

*Nursing.* The data recited in the Auditor's report is too limited to justify the conclusion drawn. The nursing programs at the baccalaureate level and the community college level are not comparable. Both programs prepare RNs, but a four-year bachelor's program has a greater percentage of lecture to clinical course work than the two-year degree. Valid comparisons of these two types of programs cannot be made without considering program requirements, contact hours associated with clinical assignments, and the particular mix of clinical and lecture assignments in any given semester and over time, and the requirements of national and state accreditation standards. Further, many Community College nursing faculty work a 11-month rather than 9-month academic year. Therefore, a focus on only one semester has the potential to significantly under-report total teaching assignment.

14. *Why do variations exist within the same college, e.g., ranges from 6.92 semester credit hours (math) to 16.32 (biology) in the College of Natural Sciences at Mānoa?*

**The conclusion drawn by the auditor that this variance is difficult to justify and reflects uneven workloads is in error and reveals an inappropriate interpretation of the cited data.** The data used do not permit valid conclusions about individual faculty loads in these programs. The biology program, unlike math, is taught largely by faculty from other departments. Because the FTEs are prorated according to teaching assignments and because faculty teaching biology also teach courses in other departments, only that share of their FTE associated with biology courses is assigned in this analysis to the biology program. The equivalent SH/reg faculty for a program managed in this fashion should be considerably higher than for regular departments because the equivalencies for research, etc., are accounted for in the faculty's home department.

The next highest equivalent SH/reg faculty in the College of Natural Sciences was also a special case. General science SSH were decreasing by fall 1994 because the program was scheduled for termination. By fall 1995, there was only one class offered, and by fall 1996 no classes were offered in general science. It is not unusual for a department that is decreasing course offerings to have a higher than average equivalent SH/reg faculty.

Minus these two special cases, the remaining ratios for Natural Sciences are similar. The differences can be explained by a mix of student demand and what else faculty were assigned to do in fall 1994.

15. *Why do variations exist within the same department, e.g., in oceanography a faculty member with a 100% instructional appointment carried a smaller instructional load than a faculty member with a 50% instructional appointment?*

**Individual faculty teaching workload can only be fairly assessed over time and relative to the quantity, quality, and value of the individual's total responsibilities.** In any given semester, it is quite possible for such variations to exist within a department. Investigation of the case cited by the auditor revealed that the oceanography faculty member with the 100% instructional appointment was on a research cruise for 40% of the semester in question. The fact is that in oceanography it is common for faculty to go on research cruises for periods of time as long as several months. When such a cruise is scheduled, the faculty member does not do any formal classroom teaching in that semester. The formal classroom teaching is done during semesters when the faculty member is not at sea.

It is not uncommon at the Mānoa campus for faculty engaged in certain types of research to have heavy teaching loads in one semester and lighter teaching loads in the next. For this reason, examination of the teaching load of a particular faculty member in only one semester can give a very misleading picture of the faculty member's average teaching workload. In CTAHR, for example, it is common for a person with a 25% instructional appointment to satisfy all of his/her teaching obligations in a single semester each year. Such a person might teach two courses in the spring semester and nothing in the fall semester. This is why assessment of individual faculty workload must be looked at over time. It is common at a research campus for faculty to arrange their teaching assignments so that they have one semester of heavy teaching obligations and one semester of relatively light teaching obligations. They use the latter semester to concentrate on their research. This is especially true of disciplines such as oceanography, where much time may be spent "in the field."

**Action:** On-going monitoring of overall teaching loads (including established equivalencies) with attention to variance at either extreme will continue and be part of biennium priority planning and budget preparation.

### Equivalencies

16. *Why aren't equivalencies for non-classroom teaching duties defined and consistently applied?*

*Why are faculty given different release-time credit for what appears to be the same project? Why do equivalencies for non-instructional duties, e.g., department chair, vary across the baccalaureate campuses? Is it correct that only the Community College Chancellor established equivalencies for non-classroom teaching? Why are they judged inadequate?*

**The University has established workload equivalencies and has made every effort to apply them fairly and consistently.** The Board policy provides for two types of equivalencies: (a) for modes of instruction other than classroom lecture, and (b) for non-instructional activities.

- a. Non-classroom (non-lecture) equivalencies. Equivalencies for directed readings, thesis, dissertation, and student teaching were established and approved by the administration in consultation with the faculty. They have been used by the system to report on faculty workload measures since 1980. Equivalencies for contact hours at the Community Colleges are part of the administrative policy approved by the President. At the other campuses, contact-hour equivalencies are handled in a decentralized fashion. The Community Colleges are following nationally accepted practices, embraced by comparable comprehensive community colleges, in determining teaching assignments based on weekly class contact hours in addition to semester credit hours and equivalencies for instructional and non-instructional duties.
- b. Non-instructional equivalencies. The administrative policy described in Attachment 2 is the record of presidential approval of teaching-equivalent activities in the non-instructional area. Beyond the equivalencies spelled out in this policy, the intent was to decentralize this activity, permitting the use of equivalencies tailored to the specifics of programs, departments, colleges, schools, etc. Board and administrative policy provides for flexibility in the use of these equivalencies. Variations in workload are deemed essential given the complex nature of the higher education enterprise.

*Department chairs.* Variations in the application of equivalencies are expected and not inconsistent with policy. Much depends on the specific circumstances of the case. For example, the number of credits assigned for service as a department chair depends on the number of faculty in the department, the complexity of the discipline, and/or interface requirements with specialized accrediting agencies and off-campus institutions such as schools, hospitals, and government agencies, and other factors

*Variations for the same project.* Variations in release time for the same project may be attributed to the individual's role in the project. While two individuals may be working on the same project or committee, more assigned time would be given to an individual serving as the principal investigator or committee chair than to an individual who is working on only one aspect of the project or simply serving on the committee. Equivalencies must be considered within the context of the specific assignment and expected contribution of the individual.

*Variations for research.* The nature of the discipline impacts the time associated with research. For example, carrying out research on the home campus is one thing, while in other cases research requires travel, extensive site preparation, and a variety of other tasks. In addition, judgments about the quantity and quality of research performed by the faculty member in a given semester and for prior semesters enter into the final determination of equivalencies.

*Community College equivalencies.* It is not clear why the Community College equivalencies for contact hours were judged inadequate. This is especially troublesome when it is noted that some equivalencies (e.g., department chair) were commended when others included in the same set were not. The audit analysts were referred to the catalogs for lists of courses associated with equivalencies; it does not seem that this should be cause to judge the equivalencies associated with these courses as inadequate.

17. *Do across-the-board teaching assignment reductions mean that faculty are not being held accountable for their non-teaching duties? Are such reductions a violation of administrative policy that the administration should have corrected?*

Across-the-board teaching assignment reductions at Mānoa are based on expectations for faculty at a research campus. It is a requirement of employment that all UHM faculty engage in scholarly research activities. However, the administration does routinely monitor the performance of Mānoa faculty, and corrective actions are taken if faculty are not performing up to expectations.

At West O'ahu, teaching assignments reflect accreditation-related concerns expressed in 1988. The Accrediting Commission for Senior Colleges and Universities, Western Association of Schools and Colleges, expressed the concern that, due to West O'ahu's upper division status and the inordinately large number of different preparations required of each faculty member, a load of four courses per semester (12 hours) was too high.

At a small campus such as Hilo, division chairs and department heads are very familiar with individual faculty workload; judgments on the three credit out-of-class equivalency are made but may not always be documented on paper. Schedules are reviewed by chairs/heads and the college dean.

At Mānoa and the baccalaureate campuses, there are several mechanisms in place that hold faculty accountable for non-teaching duties, including the five-year review of tenured faculty, the contract renewal process for tenure-track faculty, the application process for tenure and promotion, and others.

The faculty performance evaluation procedures used in SOEST are one example of how faculty performance is monitored. Faculty are evaluated every two years by the department chair or institute director and by the dean. The faculty are graded on a scale from 0 to 25. In the case of instructional faculty, the maximum possible scores are 10 points for instruction,

10 points for research, and 5 points for service. The scores take into consideration both the quantity and quality of the faculty member's work. A faculty member is considered to be deficient if his/her total score is 15 or less. Faculty who are judged to be deficient consult with the dean, and a program to bring the faculty member up to speed is agreed upon. If the faculty member is still deficient when he/she comes up for post-tenure review, the faculty member is formally put on a professional development plan and appropriate actions consistent with contractual requirements follow.

18. *If faculty receive the usual release time given to accomplish their non-instructional duties and additional time for specific individual circumstances, does that mean that they are not meeting their own departmental policy?*

No, the adequacy of individual faculty workload depends on the quantity, quality, and value of total instructional, research, and service responsibilities over time. Without a full knowledge of this context, there is no basis for assuming that policy requirements are unmet.

**Action:** The University will continue to refine and incorporate, as appropriate, into routine reports equivalencies for non-lecture modes of instruction. The program/department, not the individual faculty member, will continue as the unit of analysis.

#### D. PERSONNEL MATTERS

19. *Are lecturers used unnecessarily? Could \$166,000 be saved by using fewer lecturers at UHM?*

**The University is not aware of unnecessary use of lecturers.** Lecturers are used to handle teaching load that cannot be handled by regular faculty due to their existing teaching loads, to partially replace faculty on sabbatical or sick leave, to teach subjects where a full-time hire is not warranted, e.g., the first two years of a foreign language at UHH or a Community College, or to offer a specialized expertise not currently found among regular faculty. At a small campus like West Oahu, the use of lecturers enables the institution to offer reasonable breadth in its programs and gives students experiences with diverse faculty, many of whom bring important work-related backgrounds to the classroom.

Two-thirds of the teaching done by lecturers in the UH system is at the Community Colleges. We know that the available time of regular Community College faculty is fully utilized. Lecturers are essential for student access and are not being used unnecessarily.

The conclusion that \$166,000 could be saved by using fewer lecturers at UHM cannot be drawn from the audit presentation. It all depends on the other assigned responsibilities of the faculty in question. While access has been the University's highest priority, the University has made it clear that not every instructional dollar is more important than every research dollar. If even a few of the faculty who took over this load from lecturers had to forgo even modest research funding, and depending on the nature of student demand, this audit proposal would

not be an appropriate use of valuable faculty resources.

**Action:** The University will continue to monitor the use of lecturers carefully.

20. *Are overload payments supported by sufficient documentation? How much money did the University spend on overload for the academic year 1994-95? Did 10-11 faculty teaching in UHM CCECS during 1994-95 not qualify for overload? Was \$33,998 paid to UHM faculty who did not qualify for overload?*

**Based on an independent audit of the records, faculty members receiving overload payments through the UHM College of Continuing Education and Community Services (CCECS) are entitled to those payments.** However, documentation of that eligibility was not always completed adequately because of the way the information is requested on the form. Since the names of specific faculty members cited by the audit as not being eligible were not available to the University, the University conducted an independent audit of 52 randomly selected full-time instructional faculty. In that audit, a preliminary review of CCECS files revealed that 14 cases, or approximately 26%, lacked complete documentation of overload eligibility. However, when the CCECS documents were combined with the college or school documents, the results showed that the award of overload payments to regular faculty by CCECS was justified for all faculty reviewed in the study.

Since the dean of the college or school to which the faculty member is assigned is responsible for determining eligibility, identifying equivalencies, and approving overload awards, it was necessary, in some cases, to consult with colleges/schools to clarify discrepancies in documentation.

It is very important to note that the University's total (all funds) overload expenditures for FY95 were approximately \$5M. General Fund overload expenditures for regular faculty across the entire system were only \$1.3M. The figure for UHM CCECS was \$376,007.

**Action:** The CCECS UHM Form 3 will be revised to clarify what documentation must be provided; overload will not be paid until required documentation is approved by the appropriate dean.

21. *Did the University pay \$128,000 to a faculty member for services not rendered? Did the University intentionally violate federal immigration law when it employed this faculty member*

No. This faculty member was hired as Director of the Law of the Sea Institute, not as a full-time professor. During the course of his 17½ month employment, he taught one Law School course and, at the direction of the individual who was then dean, devoted the rest of his time to the administration of the Law of the Sea Institute. The faculty member did an excellent job in performing the teaching and administrative duties that were assigned to him.

No. The school acted in good faith, assuming that the visa issue would be resolved shortly. When it became clear, after nearly a year and a half of waiting, that the end was still not in

sight, the employee's resignation was accepted. Until termination, the faculty member was paid because he continued to perform his assigned duties as Director of the Law of the Sea Institute.

**Action:** The University has directed all employing units that they must comply with all applicable immigration requirements and ensure that all employed foreign nationals have appropriate visa status. The University will conduct training workshops on procedures for compliance with the law.

**E. TECHNICAL MATTERS**

In addition to the incorrect faculty costs noted above, attention is called to the following:

Page 5: The position of Vice Chancellor, Academic Affairs, UH Hilo, is mistitled as Executive Vice Chancellor.

Page 21: It is not clear why the percent calculations for Human Development differ.

UNIVERSITY OF HAWAII  
Board of Regents Bylaws and Policies

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6 Teaching Assignments for Instructional Faculty. The faculty of the University of Hawaii has duties and responsibilities that encompass a number of professional activities in addition to teaching. The nature and scope of these additional duties are determined by the particular mission of the unit and program and the relationship of that mission to the faculty member's professional qualifications. As instruction is the University's highest priority, however, teaching remains the most important duty of its faculty. This policy sets standards for the assignment of the instructional component of faculty responsibilities.

a. Except as otherwise provided herein, the standard teaching assignments for full-time instructional faculty shall be as follows:

- (1) 24 semester credit hours per academic year at the University of Hawaii at Manoa,
- (2) 24 semester credit hours per academic year at the University of Hawaii at Hilo, excepting Hawaii Community College,
- (3) 24 semester credit hours per academic year at West Oahu College, and
- (4) 30 semester credit hours per academic year in the University of Hawaii Community Colleges, and at Hawaii Community College.

b. The teaching assignments in section a. refer to classroom lecture instruction. For other modes of instruction (clinical practice, laboratory, thesis supervision, etc.), each Chancellor shall develop and recommend:

- (1) an appropriate measure of the instructional activity (contact hours, number of students supervised, etc.), and
- (2) an equivalence relating the designated measure to semester credit hours.

It is expected that the development of appropriate equivalents will involve consultation of the appropriate faculty, department chairpersons, and academic deans.

Such equivalents shall be reviewed and approved by the President and reported to the Board of Regents upon their establishment or subsequent revision consistent with Board policy.

c. In recognition of the diverse responsibilities of the University and its faculty, each Chancellor shall develop and recommend equivalents for specific non-instructional activities that are consistent with and in furtherance of the mission of the University unit and program.

It is expected that the development of appropriate equivalents will involve consultation of the appropriate faculty, department chairpersons, and academic deans.

The definitions of these equivalents shall include:

- (1) a description of the professional activities for which they may be granted,
- (2) an explanation of the relationship of these activities to institutional and program mission and priorities, and
- (3) guidelines for determining the circumstances which warrant granting them.

Such equivalents shall be reviewed and approved by the President and reported to the Board of Regents upon their establishment or subsequent revision consistent with Board policy.

The implementation of this policy shall be the responsibility of the Chancellors of the respective units.

- d. Teaching assignments for part-time instructional faculty or for faculty paid less than full time from instructional funds shall be as in section a. pro-rated by their fractional full-time equivalent in instruction.
- e. Each unit shall ensure against discriminatory teaching assignments. In addition, Chancellors shall establish procedures to monitor the effectiveness of teaching reductions for non-instructional duties.
- f. During the spring semester of academic year 1981-82, equivalencies shall be developed by April 30, 1982, in accordance with this policy, and teaching assignments beginning in fall semester 1982-83 shall be determined as set forth herein. (Jan. 22, 1982)

University of Hawai'i  
Administrative Policy on Teaching Assignments for Instructional Faculty, 10/1/90

SYNOPSIS

Administrative policy on "Teaching Assignments for Instructional Faculty" is contained in a document promulgated by then-President Albert J. Simone and dated October 1, 1990. This document contains specific statements for UH Mānoa, the UH Community Colleges, and combined statements for UH Hilo and UH-West O'ahu. **These policy statements have a number of elements in common.**

1. A summary of the applicable unit mission statement.
2. A statement of the applicable BOR teaching assignment.
3. Detailed descriptive statements of faculty responsibilities in two categories.
  - a. Instructional activities. These vary somewhat by unit, but generally include curriculum preparation, grading and evaluation activities, supervision, advising, and a variety of other instruction-related activities that faculty pursue in addition to regular classroom teaching.
  - b. Non-instructional activities. With some variation, especially as relates to research and scholarship, detailed descriptions of the following categories are provided.
    - (1) Research and scholarly achievement (the Community Colleges refer to scholarly endeavors and UHH/UHWO call this category research/scholarly activities).
    - (2) Professional development.
    - (3) Institutional service.
    - (4) Advising and counseling (the Community Colleges include this area under instructional activities).
    - (5) Professional service.
    - (6) Public service.

**A synopsis of the remainder of the three policy statements is provided below.**

UH Mānoa. The UHM policy discusses the mix of faculty activities:

Because of the requirement to perform significant and substantive research or creative activities, as well as the need from time to time to make extraordinary service contributions, the standard teaching assignment may be reduced to 12-18, and in exceptional cases to below 12 semester credit hours per academic year. For those faculty whose records over a period of years show that they have chosen not to engage in significant service, research, or creative activities, teaching may be substituted.

Policy implementation involves written faculty plans and annual reports on non-instructional activities. These documents are directed to departmental chairpersons/program directors. Faculty requests are evaluated in terms of written departmental standards of performance for non-instructional activities, as established in consultation with the dean. The chairperson/director determines the teaching assignments based on this evaluation. Some adjustments are reviewed by the dean/director. Deans/directors oversee policy implementation in their colleges/schools. The policy allows for appeals of matters relating to non-instructional activities to the deans/directors.

UH Community Colleges. The UH Community College policy specifies the following equivalencies:

1. Eighteen weekly class contact hours per academic year for faculty teaching "science, business and/or basic academic skills classes which require a combination of lectures and laboratory exercises."
2. Twenty three to twenty five weekly class contact hours per academic year for faculty teaching in "technical/occupational programs, art and health and physical education, and/or basic academic skills classes, which require a different combination of lectures and laboratory or shop activities."
3. One hundred fifty student registrations an academic year for faculty teaching "Cooperative Education or Work Practicum where students are learning by working in business or industry, following a prearranged sequence of learning activities."

Duties and responsibilities of Community College faculty are a combination of instructional and non-instructional activities and the mix may vary from individual to individual.

Reductions that are the consequence of appointment to various positions or other assignments are made in accordance with "Community College Policies and Procedures." Reductions made at the request of the faculty involve written requests and reports handled through department/division chairs to the dean of instruction or designee. The provost or designee oversees policy implementation, and appeals to the provost are provided for.

UH Hilo and UH-West O'ahu. The UHH and UHWO policy expects that all faculty engage in an appropriate combination of activities, resulting in a normal reduction in the BOR standard teaching assignment.

The duties and responsibilities of faculty members will include both instructional and non-instructional activities. Although the "mix" of these activities may vary from individual to individual, the expectation is that faculty members will establish records of teaching excellence, make important research or creative contributions in their field, and engage in service to the life of the University and the broader community. Faculty who meet these expectations normally [will] be assigned 18 semester credit hours of teaching per academic year. On the other hand, the faculty member assigned a reduced teaching load whose scholarly and service accomplishments do not meet expectations normally will be assigned the standard teaching assignment.

Policy implementation provides for written faculty requests for reductions from the standard (24-SCH) teaching assignment, and annual reports by faculty to the dean on contributions to the areas of research, scholarly activities, and service. Performance expectations for both standard and reduced teaching assignments are developed by academic colleges, divisions, departments, or other academic units. Department chairs' and/or administrative reviews of faculty accomplishments, including comparison with the unit standard, provide the basis for determining teaching assignments for the next year.

Faculty members who have met the research, scholarly accomplishments and service goals established by their department or unit will be assigned an 18-SCH/year teaching assignment by the dean or designee. Faculty members who have not met the performance standards established by their department or unit normally will be assigned the 24-SCH/year teaching assignment.

The policy provides for the appeal of decisions related to the assignment of instructional and non-instructional activities up to the level of the Chancellor.



**UNIVERSITY OF HAWAII**

PRESIDENT, UNIVERSITY OF HAWAII  
AND CHANCELLOR, UNIVERSITY OF HAWAII AT MĀNOA

April 8, 1997

The Honorable Marion Higa  
State Auditor  
Office of the Auditor  
465 S. King Street, Room 500  
Honolulu, HI 96813-2917

**RECEIVED**

**APR 8 10 15 AM '97**

**OFF. OF THE AUDITOR  
STATE OF HAWAII**

Dear Ms. Higa:

We have clarified the explanation of the faculty resource data we provided in our response to you dated April 7, 1997. Please substitute the enclosed page 6 for the original page 6 in Attachment 1. Note that, in addition to the faculty data for **all funds** for FY95, we have also shared the estimated **general fund** faculty payroll for FY97.

Thank you for accepting this clarification.

Sincerely,

Kenneth P. Mortimer  
President, University of Hawai'i, and  
Chancellor, University of Hawai'i at Mānoa

Enclosure

c: Board Chair Lily Yao and Members of the Board  
Board Secretary Dan Ishii

with the faculty union. The administration's annual report on this subject was held awaiting release of this audit, which it expected by late summer 1996.

3/14/97: President Mortimer released the document entitled *University of Hawai'i Instructional Workload: Report on Current Policy and Practice*.

7/1/97: The University of Hawai'i Board of Regents and the UHPA are scheduled to reopen discussion on teaching equivalencies.

These selected highlights provide evidence of the importance of the teaching assignments policy to the Board and the administration. The lengthy effort (involving participation by UHPA) that resulted in the issuance of the administrative policy, the status reports on the teaching assignments policy, especially in recent years, and the continuing dialogue with the UHPA all attest to the importance this matter holds. Board inquiries on this matter have provided the opportunity for policy review, revision, or replacement. The lack of recommendations to change the policy attests to the adequacy of the policy. Implementation issues are separate and ongoing matters for review and action.

8. *Why does the Community College requirement differ from that for other system Units?*

The 15 semester credit hour requirement at the Community Colleges dates to at least 1968 and reflects the primacy of the teaching mission, all of which is at the lower division. This standard is consistent with nationally accepted practice for comprehensive community colleges. Board policy explicitly provides for equivalencies within this standard for instructional contact hours and non-instructional duties, especially the significant service activity of community college faculty, as well as assigned administrative duties.

**B. FACULTY RESOURCES**

9. *What amount and share of all funds were expended for faculty, by type of faculty for FY95? What is the estimated general fund expenditure for faculty for FY97?*

The faculty expenditure information in the audit is incorrect. The data provided for the pay periods ending 10/31/94 and 3/31/95 were added rather than averaged. The correct average of FY95 faculty expenditures\* (payroll excluding fringe benefits) from ALL FUNDS was \$175.5M (29% of all funds), not \$351M. For information, the FY97 estimated GENERAL FUND faculty payroll is \$142.7M (52% of the FY97 general fund allocation).

	FY 1995 (All Funds)	FY 1997** (General Funds)
Research (R) Faculty	\$ 18,468,727	\$ 11,949,165
Specialist (S) Faculty	13,191,367	9,474,008
Extension Agents (A)	2,245,758	1,918,464
Librarians (B)	3,924,849	2,966,412
Instructional (I) Faculty*	137,693,919	116,357,752
<b>Total</b>	<b>\$175,524,620</b>	<b>\$142,665,801</b>

\* Includes Community College faculty

\*\* As of 12/31/96

