UNIVERSITY OF HAWAI’I
BOARD OF REGENTS

Notice of Meeting

Board business not completed on this day will be taken up on another day and time announced at the conclusion of the meeting.

Date: Thursday, October 21, 2021
Time: 8:30 a.m.
Place: Virtual Meeting

In light of the evolving COVID-19 situation, protecting the health and welfare of the community is of utmost concern. As such, this will be a virtual meeting and written testimony and oral testimony will be accepted in lieu of in-person testimony. See the Board of Regents website to access the live broadcast of the meeting via livestream: www.hawaii.edu/bor. Mahalo for your consideration.

AGENDA

I. Call Meeting to Order

II. Approval of the Minutes of the September 16, 2021 Meeting

III. Public Comment Period for Agenda Items:

All written testimony on agenda items received after posting of this agenda and up to 24 hours in advance of the meeting will be distributed to the board. Late testimony on agenda items will be distributed to the board within 24 hours of receipt. Written testimony may be submitted via the board’s website through the testimony link provided on the Meeting Agendas, Minutes and Materials page. Testimony may also be submitted via email at bor.testimony@hawaii.edu, U.S. mail, or facsimile at (808) 956-5156. All written testimony submitted are public documents. Therefore, any testimony that is submitted for use in the public meeting process is public information and will be posted on the board’s website.

Those wishing to provide oral testimony for the virtual meeting may register here. Given constraints with the online format of our meetings, individuals wishing to orally testify must register no later than 7:00 a.m. on the day of the meeting in order to be accommodated. It is highly recommended that written testimony be submitted in addition to registering to provide oral testimony. Oral testimony will be limited to three (3) minutes per testifier.

IV. Report of the President

A. COVID-19 Update

B. Enrollment Update

C. New Affiliation Agreements Among the University of Hawai’i, University Health Partners, and Health System Partners

D. Senate Concurrent Resolution No. 201 (2021) Task Force

E. Update on Legislative Inquiries

For disability accommodations, contact the Board Office at (808) 956-8213 or bor@hawaii.edu. Advance notice requested five (5) days prior to the meeting.
F. Other

G. Kaua‘i Community College Campus Presentation

V. Report of the University of Hawai‘i Foundation

VI. Committee and Affiliate Reports

A. Report from the Committee on Academic and Student Affairs
B. Report from the Committee on Intercollegiate Athletics
C. Report from the Committee on Planning and Facilities
D. Report from the Committee on Research and Innovation
E. Affiliate Reports

VII. Agenda Items

A. Consent Agenda

1. Atherton Student Housing and Innovation Center (Center) Project at Tax Map Key No. (1) 2-8-016-001:
   a. Approval of a Sublease between the University of Hawai‘i and UHF RISE Student Housing LLC to allow the University to sublease space in the Center
   b. Approval of a Student Housing Affiliation Agreement between the University of Hawai‘i and UHF RISE Student Housing LLC to support the Center

2. Approval to Indemnify the U.S. Department of Commerce, National Oceanic and Atmospheric Administration (NOAA), and other Federal Entities, When Using Federal Confidential Information for Research Projects for the Cooperative Institute for Marine and Atmospheric Research (CIMAR)

B. Final Report and Dissolution of the Tenure Permitted Interaction Group

VIII. Executive Session (closed to the public):

A. Personnel: (To consider the hire, evaluation, dismissal, or discipline of an officer or employee, where consideration of matters affecting privacy will be involved, pursuant to Section 92-5(a)(2), Hawai‘i Revised Statutes (HRS))
   1. Discussion of Personnel Actions (A-1 for approval)

B. Legal and Real Estate Matters: (To deliberate concerning the authority of persons designated by the board to conduct labor negotiations or to negotiate the acquisition of public property, or during the conduct of such negotiations, and to consult with the board’s attorneys on questions and issues pertaining to the board’s powers, duties, privileges, immunities, and liabilities, pursuant to Sections 92-5(a)(3) and 92-5(a)(4), HRS)
   1. Atherton Student Housing and Innovation Center Project at Tax Map Key No. (1) 2-8-016-001
   2. Quarterly Status Report on Legal Matters

For disability accommodations, contact the Board Office at (808) 956-8213 or bor@hawaii.edu. Advance notice requested five (5) days prior to the meeting.
IX. Agenda Items (continued)
   A. Personnel Actions (A-1 for approval)

X. Announcements
   A. Next Meeting: November 18, 2021, at a location to be determined

XI. Adjournment

ATTACHMENTS
Attachment A1 – Personnel actions posted for action
Attachment A2 – Personnel actions posted for information only
Attachment A-1: Personnel Action for BOR approval. Pursuant to §89C-4, HRS, the following proposed compensation actions for excluded Executive/Managerial are disclosed for purposes of public comment.

<table>
<thead>
<tr>
<th>Campus</th>
<th>Last Name</th>
<th>First Name &amp; Middle Initial</th>
<th>Proposed Title</th>
<th>Unit</th>
<th>Nature of Action</th>
<th>Monthly Salary</th>
<th>Effective Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>UH Mānoa</td>
<td>Davidson</td>
<td>Elizabeth</td>
<td>Interim Associate Dean</td>
<td>Shidler College of Business</td>
<td>Appointment</td>
<td>$22,657 plus $28,116 (Annual Salary Supplement from UH Foundation)</td>
<td>October 22, 2021 - October 21, 2022</td>
</tr>
</tbody>
</table>

Recommendation: That the Board approve the personnel action as recommended.

David Lassner
President
Pursuant to §89C-4, Hawai‘i Revised Statutes, the following proposed compensation actions for excluded Executive/Managerial are disclosed for purposes of public comment.

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<th>Effective Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>UH Hilo</td>
<td>Guilloz</td>
<td>Nahua</td>
<td>Director of Stewardship</td>
<td>Center for Maunakea Stewardship</td>
<td>Appointment</td>
<td>$11,000</td>
<td>October 22, 2021</td>
</tr>
</tbody>
</table>
DRAFT

BOARD OF REGENTS MEETING
SEPTEMBER 16, 2021

Note: On August 5, 2021, Governor David Y. Ige issued a proclamation related to the COVID-19 emergency that temporarily suspended Chapter 92, Hawaii'i Revised Statutes, relating to public meetings and records, "only to the extent necessary to minimize the potential spread of COVID-19 and its variants".

I. CALL TO ORDER

Chair Moore called the meeting to order at 8:32 a.m. on Thursday, September 16, 2021. The meeting was conducted virtually with regents participating from various locations.

Quorum (11): Chair Randy Moore; Vice-Chair Alapaki Nahale-a; Vice-Chair Benjamin Kudo; Regent Simeon Acoba; Regent Kelli Acopan; Regent Eugene Bal; Regent William Haning; Regent Wayne Higaki; Regent Diane Paloma; Regent Robert Westerman; and Regent Ernest Wilson.

Others in attendance: President David Lassner; Vice President (VP) for Administration Jan Gouveia; Associate VP for Legal Affairs Gary Takeuchi; VP for Research and Innovation Vassilis Syrmos; VP for Information Technology/Chief Information Officer Garret Yoshimi; VP for Budget and Finance/Chief Financial Officer Kalbert Young; UH Mānoa (UHM) Provost Michael Bruno; UH Hilo (UHH) Chancellor Bonnie Irwin; UH West O’ahu (UHWO) Chancellor Maenette Benham; Leeward Community College (LeeCC) Chancellor Carlos Peñaloza; Executive Administrator and Secretary of the Board of Regents (Board Secretary) Kendra Oishi; and others as noted.

II. APPROVAL OF THE MINUTES

Vice-Chair Nahale-a moved to approve the minutes of the August 19, 2021, meeting, seconded by Regent Wilson, and the motion carried, with all members present voting in the affirmative.

III. PUBLIC COMMENT PERIOD

Board Secretary Oishi announced that written testimony expressing concerns or opposition to the Report of the Tenure Permitted Interaction Group was received from several individuals.

Written comments expressing opposition to vaccination and COVID-19 testing requirements for students attending the university was received from Tina Lia.
A written statement regarding his appointment to the Mauna Kea Management Board (MKMB) was received from Dr. Andy Adamson.

Written comments may be viewed at the Board of Regents website as follows:

Written Testimony Comment Received
Late Written Testimony Comment Received

Oral testimony was also received from Tina Lia in opposition to vaccination and COVID-19 testing requirements for students attending the university.

IV. REPORT OF THE PRESIDENT

A. COVID-19 UPDATE

President Lassner provided an update on the university's current state of affairs with regard to the COVID-19 pandemic. While case counts continue to surge across the State, university associated case counts have been moderate with 42 confirmed COVID-19 positive cases since the start of the Fall semester and no evidence of community spread on any campus.

Although on-campus presence has increased across the university system, a large number of students continue to engage in online coursework. The university remains hopeful that a greater number of students will return to campuses for in-person coursework during the spring semester and is cognizant of ensuring the health and safety of students, faculty, and staff. The administration continues to focus its efforts on implementing testing protocols; updating guidance, practices, and systems to match the changing overlay of county, State, and federal vaccination and testing mandates; and stressing the importance of vaccination. The administration is also currently in discussions with labor unions regarding plans for the spring semester when enforcement of the university’s vaccination mandate is expected to begin.

President Lassner recognized and commended student housing staff and administrators at UHM and UHH for their exceptional efforts and tireless work in keeping students safe in the university’s residence halls throughout the pandemic while meeting their housing needs.

B. Enrollment Update

As of today, headcount enrollment at UHM and UHH has experienced increases of six percent and 2.5 percent respectively as compared to the same period last year as day-to-day enrollment figures begin to stabilize. President Lassner highlighted that UHM has experienced fall semester headcount enrollment increases in three out of the last four years and is expecting an overall headcount enrollment of 19,000, its highest since 2014. If the numbers hold, UHH will be witnessing its first increase in fall enrollment since 2012, reversing eight years of declines. UHWO and the community colleges are seeing decreased headcount enrollments of 4.8 percent and 3.4 percent
respectively, although UHWO is maintaining a stable headcount enrollment of 3,000 students.

Although the community colleges continue to realize declining enrollment, the waning numbers are mainly in credit-course headcount enrollment. It was noted that the community colleges play a large role in supporting economic revitalization and workforce development which is mainly achieved through non-credit education and training and that this information is not contained within enrollment statistics metrics. The administration is working to determine how it can best capture this data and report on this important aspect of the mission of the community colleges in the future. President Lassner stated that a full analysis of the university’s fall enrollment statistics will be provided once the official census is completed.

C. Update on Clarence T.C. Ching Field Improvements

Work on facility improvements that has allowed the Clarence T.C. Ching Athletic Complex (Ching Complex) to be used as the site to host home games for the university’s football team this fall is expected to be completed by the end of September. Despite several minor outstanding items, the university was able to successfully host its first home game of the season on September 4, 2021, albeit without any fans in attendance due to State mandated COVID-19 restrictions on large-group gatherings. In spite of requests being made to both State and City and County of Honolulu officials to allow some level of attendance with additional mitigation measures including vaccination and mask-wearing requirements, as well as the establishment of adequate social distancing, fans will continue to be prohibited from attending football games at the Ching Complex for the near future. At the moment, the University of Hawai’i football program is the only Football Bowl Subdivision school out of 130 members playing without any fans in attendance at home games.

D. Maunakea Stewardship Update

A draft of the new Mauna Kea Science Reserve Master Plan (Master Plan), which is intended to replace the Master Plan adopted in 2000, has been publicly released by the university. President Lassner stated that the Master Plan guides land-use decisions on university-managed lands and will serve as a framework for aligning land-use decisions, management actions, and educational programs to create better balance among cultural, environmental, scientific, and recreational interests, as well as to broaden Native Hawaiian and community participation in planning and programming. He also highlighted several key elements of the new draft Master Plan which include strengthening of the university’s commitment to having no more than nine operating astronomy facilities on Maunakea by December 31, 2033; establishing stronger mechanisms to seek and consider input from the Native Hawaiian community and the broader community in the decision-making framework; supporting the continued development of the UHH educational telescope at Hale Pōhaku, as well as the establishment of a UHH-led “Multi-disciplinary Field Station” at the site to support field studies and learning experiences across disciplines; and maintaining the Maunakea observatories’ status as world leaders in astronomy. The university is currently seeking public comment on the new draft Master Plan and will be hosting a virtual public
meeting regarding this issue on October 6, 2021. It is anticipated that a final version of the Master Plan will be submitted to the board for approval in 2022.

The Mauna Kea Comprehensive Management Plan (CMP), which includes detailed subplans for the management of natural and cultural resources, as well as decommissioning of telescopes and public access issues, and addresses activities such as hunting, gathering, recreation, and traditional and customary practices on the mauna is also being updated. An early draft of the updated CMP is expected to be available for internal review later this calendar year.

Substantial progress is also being made on decommissioning activities involving the Caltech Submillimeter Observatory (CSO) and Hōkū Ke’a educational telescope (Hōkū Ke’a). President Lassner stated that the objective of decommissioning telescopes is to return the sites to as close to their original, natural form as possible, which makes the approval processes for removing a telescope very similar to those for building a new observatory. The draft environmental assessment (EA) for the removal of CSO has been released for public comment and a Conservation District Use Application permit has been submitted to the Department of Land and Natural Resources for approval. A draft EA for the decommissioning of Hōkū Ke’a has also been released for public comment. Virtual public meetings on the EA and decommissioning plans for both CSO and Hōkū Ke’a are scheduled for the end of September with physical deconstruction activities slated to begin in 2022.

Development of a new UHH educational telescope on already developed land at Hale Pōhaku continues to move forward. President Lassner noted that the new site will be more accessible to students and is part of the new Master Plan vision for a more inclusive mid-level facility.

The university also continues to advance its commitment to education and culture on the mauna through the Mauna Kea Visitor Information Station (VIS). President Lassner highlighted a new exhibit developed by the ‘Imiloa Astronomy Center (‘Imiloa) that was recently installed and opened at the VIS regarding the Maunakea adze quarry. ‘Imiloa leadership has also assisted the university in developing new course materials that will be used to conduct in-person, educational training for all employees of the university, as well as all observatory employees who spend extensive time on the mauna. New and more culturally aware online educational materials are also being developed for more casual visitors. These educational resources are expected to be available by the end of this calendar year.

President Lassner referenced a Honolulu Star-Advertiser editorial stating that the university continues to be the most logical choice to direct and manage astronomy activities on Maunakea and urging that Hawai‘i continue to support world-class astronomy activities on the mauna.

E. Update on Legislative Informational Briefings Related to Procurement, Projects, and the Research Corporation of the University of Hawai‘i (RCUH)
President Lassner provided a recap of legislative informational briefings related to issues involving procurement, several university projects, and RCUH that were held throughout August 2021 and highlighted a number of follow-up requests for additional information. To date, the university administration, RCUH, and the board have received a total of 10 requests for information. While some responses to these inquiries are still being prepared, over 927 pages of substantive and detailed responses have already been provided to legislators. The administration and RCUH have also attended a total of nearly six hours of briefings with the expectation that additional briefings will held later in the year.

F. Other

President Lassner stated that the university remains committed to becoming a model indigenous serving institution and drew attention to recent financial awards received to support this endeavor including a $15 million, five-year competitive grant to establish the Center for Pacific Innovations, Knowledge, and Opportunities (PIKO) at the John A. Burns School of Medicine to improve the health and well-being of indigenous Pacific people that have disproportionately higher rates of physical ailments and mental health conditions compared to Caucasian and Asian people in Hawaiʻi. PIKO is a partnership between UHM, Hawaiʻi Pacific University, Chaminade University of Honolulu, and a statewide network of community-based organizations that will take a team-science approach to transform current research paradigms so as to accelerate clinical and translational research and improve the health of indigenous Pacific people. The United States Department of Education has also announced that it has awarded $9.3 million in competitive grants to 13 Native Hawaiian-serving programs at UHM, UHH, UHWO, Honolulu Community College, Windward Community College, and Kauaʻi Community College.

In addition to grants supporting Native Hawaiian and indigenous programs, the university has also been awarded more than $1.6 million in grants to support food and agricultural sciences for underrepresented students. Awards include a $1 million grant provided to the Hawaiʻi-One-Ag Consortium in the College of Tropical Agriculture and Human Resources (CTAHR) at UHM to develop new pathways in agricultural education and future career growth; a $450,000 grant received by GoFarm Hawaiʻi, a program also within CTAHR, to provide training for new farmers and increase agribusiness in Hawaiʻi; and just over $200,000 was given to the Undergraduate Pathways Bridging Excellence In Agriculture and Tradition program at UHWO, which will educate and train a new generation of food, agriculture, natural resource, and human science professionals to think across traditional disciplinary and cultural boundaries to engage and address the many contemporary challenges in the agri-food system of Hawaiʻi.

G. LeeCC Campus Presentation

Chancellor Peñaloza provided an overview of LeeCC’s enrollment statistics and demographics, including gender, enrollment status, and ethnicity, and noted the importance of understanding this data to develop better intervention strategies that will have a greater impact on the educational needs of students. He stated that the student population consisted mainly of female, part-time, and returning students accounting for
61, 65, and 54 percent of enrolled students respectively, and highlighted the ethnic diversity of the student body, which has a strong representation of Hawaiian and Filipino populations. He also noted that the majority of students enrolled at LeeCC are liberal arts majors that intend to transfer to a four-year university followed by individuals enrolled in career and technical education (CTE) programs.

Although headcount enrollment for fall 2021 has slightly improved as compared to the same period last year, the peak increase in enrollment of four percent experienced at the beginning of the semester has declined to just under one percent to date. Both enrollment headcount and student semester hours have been trending lower over the past five years, which is a similar situation to what is occurring at the community colleges systemwide, though enrollment figures are moving in a positive direction at LeeCC. Chancellor Peñaloza stated that the largest decrease in enrollment figures occurred among the new student population, particularly in the area of early college admissions. He explained that the COVID-19 pandemic severely impacted LeeCC’s ability to work with various partners, including the Department of Education (DOE), in recruiting new students through activities such as campus tours that provided insights into the benefits of a post-secondary education as well as the collegiate experience. LeeCC remains hopeful that there will be a reversal of this trend as the pandemic begins to wane. Declining enrollment has also been occurring among students enrolled in the liberal arts over the last five years but is being somewhat offset by increased enrollment in CTE programs which appears to indicate a shift toward an interest in workforce development courses among students.

Several performance measures which are considered to be metrics of academic success including retention, graduation, and transfer rates were reviewed with Chancellor Peñaloza stating that LeeCC is improving in both graduation and transfer rates. While LeeCC is witnessing a downward trend in retention rates for first-time full-time students, this population also experienced a concomitant increase in graduation rates which may explain this downward trend.

Surveys conducted among students in spring 2021 to better assess barriers that may be impacting their academic success indicated that the COVID-19 pandemic has had a significant impact on the financial situations of many students resulting in increased job, food, housing, and childcare insecurity. The necessity of addressing many of these needs has made it difficult for many students to continue to pay for their post-secondary education and associated costs. While the university has responded in a number of ways to assist students with many of their needs, it was noted that many did not take advantage of the support offered. LeeCC continues to work collaboratively with campus groups on communication campaigns to better inform students of every opportunity available to assist them with their needs.

LeeCC has also been focusing on initiatives to address some of the financial costs associated with obtaining a post-secondary education including the Early College Program and the Open Educational Resources (OER) Program. LeeCC works with 14 high school partners to support over 600 students enrolled in the Early College Program. It was noted that while many of the students enrolled in the Early College Program continue on to institutions of higher education, most are transitioning directly to
four-year institutions and are not attending LeeCC. The OER Program, which provides zero-cost textbook courses to help reduce costs of attending college, continues to grow. As of spring 2021, 52 percent of courses offered at LeeCC were OER courses which has resulted in $6.3 million in savings for textbook costs. LeeCC has also been increasing its efforts into creating academies and pathways for high school students in its CTE programs to help reduce costs for their post-secondary education.

Chancellor Peñaloza stated that LeeCC remains steadfast in its mission to support the educational needs of the community and acknowledged the work of LeeCC faculty in continuously assessing and evaluating coursework delivery in relation to academic success and student learning outcomes (SLOs). He noted the recent acquisition of a new management system program that supports faculty in their assessment efforts through reviewing student success and SLOs. This program, known as Anthology, will allow faculty members to reflect on, and make changes to, coursework instruction that have the potential of improving student academic achievement. As of June 2021, 94.4 percent of all courses at LeeCC have been assessed within the past five years and has resulted in increases in SLOs.

**Faculty Report**

Michael Oishi, Chair of the LeeCC Faculty Senate, provided a report on some of the work undertaken over the previous academic year to support students and their academic success. He noted that the Faculty Senate focused its efforts on four major issues during the 2020-2021 academic year, including: an assessment of course learning outcomes and improvements to teaching practices; the improvement of instructional design and delivery of online coursework; the updating of student services policies and procedures; and the improvement of transparency and communications with regard to college operations and resources.

The Faculty Senate continues its efforts to ensure that quality curricula and effective instructional practices are provided at LeeCC. Mr. Oishi discussed the work of four Faculty Senate committees to improve instructional design and delivery through objective assessments of course learning outcomes (CLOs) using Anthology; develop and recommend policies, procedures, assessment protocols, and best practices that provide technical and academic support to meet the challenges posed by distance education and assure distance learner success; review and update policies regarding academic issues such as course substitution, course repeat, grading, and graduation; and create a student complaint process guide to report students’ instructional concerns.

Mr. Oishi stated that the Faculty Senate expects to be engaged in a number of projects during the 2021-2022 academic year including the hosting of campus forums on proposals for a new university general education (GenEd) curriculum; conducting reviews of the proposed GenEd curriculum and providing feedback and advice to the university’s GenEd design team; hosting faculty workshops on the use of Anthology; and recommending amendments to LeeCC’s course repeat, course substitution, grading, graduation, and senior audit policies.

**Student Report**
Alex Williamson, Associated Students of University of Hawai‘i - LeeCC (ASUH-LeeCC) Secretary, stated that he would be presenting on behalf of President Kaian Torres who was unable to attend the meeting.

Mr. Williamson reviewed the mission of ASUH-LeeCC and highlighted a number of its accomplishments over the past academic year including the hosting of a number of interactive and engaging virtual events such as talk story sessions with Chancellor Peñaloza; an educational series on a number of topics, such as Black History Month and Asian Awareness Month; guidance seminars to assist students in navigating the university’s COVID-19 requirements; and drawings and prize giveaways. ASUH-LeeCC also continues to remain engaged with the community through activities such as volunteering for a food rescue and redistribution organization, and serving as virtual buddies to incarcerated individuals and kupuna. He noted that ASUH-LeeCC continues to engage with its constituency over a variety of media platforms and is hopeful that connecting with the community through the effective use of technology will allow even greater accomplishments to be realized in 2021.

Referencing the early college program for high school students at LeeCC, Regent Paloma asked whether the students were financially responsible for the costs of the program. Chancellor Peñaloza replied that a Memorandum of Agreement exists between LeeCC and the DOE that allows Hawai‘i high school students to take classes that satisfy requirements for both a high school diploma and a University of Hawaii degree through programs such as the Early College Program and Running Start, a program whereby an eligible high school student takes a college course at a University of Hawaii system campus as part of their high school coursework. While, for the most part, students enrolled in these programs do not bear the cost for taking college courses, financial assistance is available for students enrolled in classes that may have incidental charges. Additionally, textbook costs do not pose much of an issue because of LeeCC’s OER Program.

Regent Acoba inquired as to the reason LeeCC experienced a reduction in new students while witnessing a simultaneous increase in retention rates and early admissions for the fall semester. Chancellor Peñaloza responded that, over the last few years, LeeCC has made a concerted effort to increase student retention rates and have developed a number of strategies to achieve this goal. He also reiterated that the COVID-19 pandemic severely affected LeeCC’s ability to engage with high school students which has had an impact on new student enrollment statistics.

Noting statistics indicating a reduction in students enrolled in liberal arts and an increase in students enrolled in CTE programs, Regent Acoba questioned whether this was indicative of a trend in post-secondary education at LeeCC. Chancellor Peñaloza stated that a review of trend data has revealed that, while overall enrollment is declining, enrollment in CTE programs is increasing. He noted that LeeCC’s increased promotion of its CTE programs as a viable educational alternative for some individuals, as well as greater interest in workforce development and workforce ready programs as a result of the economic impacts of the COVID-19 pandemic, are contributing factors to the increase in CTE enrollment.
Citing the self-assessments conducted by faculty on CLOs, Regent Acoba asked about the process used to perform these assessments and whether the findings were made public and shared with students. Mr. Oishi explained that CLO assessments are based upon an established set of metrics for a particular academic discipline, including whether students met, exceeded, or failed to meet specific learning outcomes and are not based upon grades received by students. Data from instructors within an academic discipline regarding these metrics is collected, aggregated, and housed in an assessment management system. This analysis is then reviewed by faculty members to determine whether or not CLOs were achieved, as well as areas in which educational improvements, including improvements in instructional techniques, can be made to provide better opportunities for students to achieve academic success. He stated that the assessments are intended to initiate open and honest conversations among faculty regarding teaching practices so as to encourage genuine improvement. As such, the results of these assessments are not public record.

Regent Acoba praised the efforts of ASUH-LeeCC to continuously engage their constituency. He also requested further information on Constitution Day which was referenced in their presentation. Mr. Williamson stated that it was his understanding that educational institutions receiving federal funding were required to host educational programming for their students focused on the United States Constitution. He remarked that ASUH-LeeCC was planning on holding a few events for Constitution Day including a trivia quiz as well as discussions comparing the Constitution of the State of Hawai‘i to the United States Constitution.

Regent Wilson asked whether the faculty management assessment program being used at LeeCC was also being used at other community college campuses. Chancellor Peñaloza stated that Hawai‘i Community College is utilizing the same faculty management assessment program. He also noted that conversations have been occurring among the community colleges, as a system, on adopting a common faculty evaluation assessment tool.

V. COMMITTEE AND AFFILIATE REPORTS

A. Report from the Committee on Budget and Finance

Committee Chair Westerman summarized the committee report.

B. Report from the Committee on Planning and Facilities

Committee Chair Nahale-a summarized the committee report.

C. Affiliate Reports

UH Student Caucus: Regent Acopan reported that the UH Student Caucus held its first meeting of the academic year on September 11, 2021, and is currently in the process of determining the priorities for the year and electing a new executive board.

All Campus Council of Faculty Senate Chairs (ACCFSC): Regent Wilson reported that the ACCFSC held its first meeting of the year at which time the ACCFSC co-
chairs were elected. Discussions occurred on several academic issues including the status of work being performed by the GenEd Curriculum Design Team which was formed in the summer of 2021 to examine and revamp the GenEd curriculum.

Mauna Kea Management Board (MKMB): Vice-Chair Nahale-a reported that MKMB continues to evaluate the general operations and stewardship of Mauna Kea and has reviewed the draft CMP. The decommissioning plans for CSO were also approved and MKMB is presently reviewing the decommissioning plans for Hōkū Keʻa. Additionally, ongoing discussions are occurring on the challenges and difficulties being faced with regard to recruiting community members to serve on MKMB; the status and work of a legislative working group established to develop recommendations for a governance and management structure for Mauna Kea; and improving community outreach and engagement on issues involving the mauna.

VI. AGENDA ITEMS

A. Consent Agenda

1. Approval of Fiscal Year (FY) 2021-2022 Operating Budget

2. Approval of the Operating Budget for the Office of the Board of Regents and Office of Internal Audit for FY 2021-2022

3. Approval of the Fiscal Biennium 2021-2023 Capital Improvement Project Expenditure Plan

Regent Wilson moved to approve the consent agenda, seconded by Regent Higaki, and the motion carried with all members present voting in the affirmative.

B. Approval of Appointment of Andy Adamson to MKMB (Deferred from the August 19, 2021 Meeting)

Chair Moore explained that the requested appointment of Dr. Andy Adamson to MKMB was deferred at the August 19, 2021, meeting of the board to allow Regents additional time to review Dr. Adamson’s background, particularly with regard to community engagement efforts.

Chancellor Irwin reiterated the challenges faced in recruiting individuals to serve on MKMB. She also stated that, despite the steep learning curve encountered by all nominees to MKMB upon official appointment given the breadth and detail of information provided in the numerous reports and plans regarding the mauna, appointees are expected to thoughtfully consider information and materials presented so that they are able to provide knowledgeable input into deliberations and make informed decisions on challenges, plans, and projects involving Maunakea. Appointees are also expected to listen to and consider community concerns, as well as any comments and concerns of their fellow board members. She referenced a statement provided by Dr. Adamson that was contained in the materials provided to the board and noted that he was present and also available to answer any questions Regents may have regarding his background including his work in community engagement.
Vice-Chair Kudo and Vice-Chair Nahale-a both stated that they had the opportunity to meet and speak with Dr. Adamson to discuss his thoughts on community engagement related to Maunakea and are supportive of his nomination.

Regent Acoba inquired if Dr. Adamson wanted to make a statement to the board concerning his nomination. Dr. Adamson thanked the board for the opportunity to be appointed to the MKMB, stating that he understands the time commitment necessary to serve on the management board but looks forward to providing input and working on the complex challenges and issues facing Maunakea should his appointment be approved.

Vice-Chair Kudo moved to approve the appointment of Dr. Adamson to the MKMB, seconded by Vice-Chair Nahale-a, and the motion carried with all members present voting in the affirmative.

C. **Atherton Student Housing and Innovation Center (Center) Project at Tax Map Key No. (1) 2-8-016-001:**

1. **Status Update and Organizational Structure**

2. **Sublease between the University of Hawai‘i and a Nonprofit Entity to be identified to allow the University to sublease space in the Center**

3. **Student Housing Affiliation Agreement between the University of Hawai‘i and a Nonprofit Entity to be identified to support the Center**

Chair Moore indicated that this item was being presented for information and discussion only and that board action on matters related to the Center Project, also known as the Atherton Project, would not occur until the October meeting. Despite the lack of specifics on certain aspects of the Atherton Project, he explained that the complexity of some of the Project’s transactions, as well as the shortened timeframe to obtain board approval once details of these transactions are finalized, warranted a review and discussion at this time.

VP Young echoed the comments made by Chair Moore stating that the administration requested the opportunity to present some of the particulars regarding the Atherton Project to afford Regents additional time to review and grasp elements of its complex business structure. He stated that the administration was hopeful that it would return to the board in mid-October to seek approval for a sublease agreement and student housing affiliation agreement associated with the Project after these agreements have been presented to the Committee on Planning and Facilities.

Background information on the Atherton Project, which focuses on the development of innovation space and 220 student housing units at the site of the Charles Atherton House and Mary Atherton Richards House, was provided with VP Young noting that the Project is being undertaken through a public-private partnership between the University of Hawai‘i Foundation (UHF), which owns the properties, and the Hunt Development Group. He stressed that, in addition to property and facility maintenance, the Hunt Development Group would be responsible for designing, constructing, financing, and
operating the facility and that the university’s involvement with the Project revolves primarily around its position as an occupant of the facility.

Several milestones necessary for continued progress on the Atherton Project including the termination of leases between the university and UHF, as well as leases with commercial tenants; approval of a request made to the Honolulu City Council to modify the university’s Plan Review Use (PRU) permit to include the Atherton Project; and issuance of demolition permits have already been reached. VP Young reported that Project partners continue to refine negotiations on various documents including ground lease, sublease, affiliation, and development agreements, and that the issuance of $75 million in bonds to finance the Project is expected to occur in October. Exterior rehabilitation work and interior renovations of the historic Charles Atherton House is anticipated to begin near the end of this calendar year with full construction expected to begin once bond financing is secured. The Project is presently scheduled to be completed and ready for occupancy by Fall 2023.

VP Young reviewed the intricate organizational arrangement of the business structure for the Atherton Project and provided details of the interconnections between all involved parties as well as several agreements being negotiated including development, management, financing, affiliation, and sublease agreements. He stated that the overall development agreement is between UHF and the Hunt Development Group; a facilities management agreement will be entered into with BHom, a private student housing operator utilized by numerous colleges and universities across the country; and that financing for the Project will be arranged through the Public Finance Authority, a governmental entity in Wisconsin, which has an agreement with RBC Capital Markets to issue bonds. The university expects to secure a 40-year sublease with the facility owner for approximately 23,000 square feet of the facility with lease rent for the space anticipated to be $250,000 per year with provisions for periodic negotiated rental increases. UHM’s Pacific Asian Center for Entrepreneurship (PACE) in the Shidler College of Business plans to utilize just under 10,000 square feet of the gross leasable square footage for an innovation center. The university, in turn, intends to sublease the remaining space to other entities, programs, enterprises, or businesses involved in the innovation sector. The university is also expecting to enter into a 40-year affiliation agreement which will formalize its affiliation with the Atherton Project and outline the nature of this affiliation, including the obligations and expectations of the signatory parties.

Regent Haning inquired about the individual or entity that will be representing the university’s interest with regard to the leasable space it is seeking to utilize within the Atherton Project. VP Syrmos replied that the Office of the Vice President for Research and Innovation (OVPRI) would be the entity managing the innovation space. OVPRI would also be responsible for the $250,000 in lease rent and believes it will recover these costs through the subleasing of space not being used by PACE.

Regent Bal asked about the annual lease rent that will be paid by the university for use of the facility stating that cost appears to be $11 per square foot per year. VP Young replied that Regent Bal’s assessment was correct given the overall facility space of 23,000 square feet the university is planning to lease. However, just under 10,000
square feet will be used by PACE for its innovation programs which lessens the amount of leasable square footage available for OVPRI to attempt to generate revenue and will result in slightly higher lease rents for entities subleasing space from the university. VP Syrms added that lease rent for the Mānoa Innovation Center (MIC), which is also managed by OVPRI, is between $3.50 and $4 per square foot per month and he is confident that similar rates could be achieved with the new innovation center space at the Atherton Project. He stated that OVPRI’s priority is to generate at least $250,000 in revenues to cover overall lease rent costs.

Referencing the existence of MIC, Regent Bal asked whether the innovation center planned for the Atherton Project would compete with the activities occurring at MIC. VP Syrms responded that the activities that are occurring at MIC mainly involve more established innovation companies and projects. The innovation center at the Atherton Project is intended to be used more by start-up types of activities and will complement the MIC by increasing the inventory space for innovation sector work. President Lassner added that leasing smaller spaces to start-up companies could afford PACE students who are in-residence at the Atherton Project with an opportunity to apply their education through serving as interns or employees with these companies.

Regent Bal requested clarification on the non-profit owner of the Atherton Project’s facilities. VP Young replied that business structure for the Atherton Project is fairly conventional for university housing projects. The owner and operator of the facility must be a non-profit entity since benefits are received from the sale of tax-exempt bonds for project financing. The administration did not initially identify the non-profit owner of the facility as there were a number of possible candidates still under consideration. However, this issue was recently addressed and he introduced Mr. John Han, Chief Operating Officer for UHF, who would provide further information on this matter. Mr. Han stated that UHF evaluated numerous options for ownership of the Atherton Project’s facilities and after careful consideration determined that UHF would be the most ideal entity to own the facilities.

Regent Wilson asked if his understanding that BHom, rather than the university, would be operating, maintaining, and managing the student housing portion of the Atherton Project was correct. VP Young replied that the university was offered the opportunity to operate the student housing units at the Atherton Project but decided that establishing an agreement with BHom to operate, maintain, and manage these units was in the best interest of the university.

Regent Acopan questioned the student population that will be served by the housing units in the Atherton Project. VP Young stated that, because the Atherton Project has been included in the university’s PRU permit, there has to be a university affiliation with individuals residing in the housing units located in the Atherton Project facilities. While any student within the university system can apply for a unit, the administration believes that the enhancement of the facility with an innovation center will likely result in mainly undergraduate students, particularly those enrolled in PACE programs at UHM, residing in these units. Susan Yamada, Executive Director of PACE stated that the facility is intended to be a live, learn, work, innovation, and entrepreneurship type of facility geared towards freshman and sophomores who indicate an interest in this type of living
arrangement. The university is also focusing on attaining a resident population across a wide range of disciplines of study to enhance interactions and generate a collaborative learning and working environment.

Vice-Chair Kudo noted that there appeared to be two streams of revenue for the Atherton Project, lease rent for commercial space and rent for the student housing units, and inquired about the rental rates for the student housing units. VP Young replied that, since the university is not assuming any responsibility, liability, or obligations for the student housing facility, it will not receive any revenue from the rental of the student housing units. BHom, the identified operator of the student housing facility, will be responsible for ensuring that the student housing facility is financially sustainable for its business model. Given this information, Vice-Chair Kudo asked whether the university would receive any payments from BHom for use of the facility. VP Young responded that any excess revenues acquired by the Atherton Project, other than sublease rent for the innovation space that will be paid to the university, will become realizations of UHF. However, the university and UHF are currently working to establish a revenue sharing arrangement that will be beneficial to both UHF and the university. Depending upon the final revenue sharing agreement adopted, he opined that there is long-term potential for the Atherton Project to generate revenues for the university.

Citing the university’s obligation for $250,000 in annual lease rent, Vice-Chair Kudo asked whether the only source of direct revenues for the university will be commercial sublease rent for innovation space not being used by PACE. VP Young replied in the affirmative. Vice-Chair Kudo expressed his concerns about the ability of the university to meet its financial obligations for the annual lease rent despite statements from VP Syrmos that the university will break even with regard to this matter.

Vice-Chair Kudo questioned whether there was any residual liability that would be faced by the university regarding the Atherton Project, particularly with regards to development, construction, management, and financing. VP Young replied that the university retains no liability for the Atherton Project. While UHF has assumed some risks, the majority of the liability for the Project has been assumed by the private developer.

Vice-Chair Kudo asked about UHF’s long-term plans for maintaining title to the Atherton property. Mr. Han replied that UHF’s goal is to ensure that the Atherton Project is successful while limiting the exposure to potential risks and noted some of the actions taken by UHF to achieve this goal.

Stating that it appeared PACE would not be paying rent for use of their portion of the innovation facility, Vice-Chair Kudo questioned whether there was a contingency plan in place should the university be required to lease additional space to generate revenues to cover its lease rent costs. VP Syrmos replied that this scenario has not been discussed and no contingency plans are currently in place.

Regent Wilson asked whether the university was financially liable for the $250,000 in lease rent for space in the Atherton Project. VP Syrmos responded in the affirmative.
Noting that UHF holds the title to the Atherton Property, Regent Wilson requested clarification as to ownership of the facilities and other assets located on the property. Mr. Han replied that UHF will remain the owner of the property and that, through a leasehold mortgage, a nonprofit owner will own the buildings and other assets located on the property. Once the bond financing is fully amortized, the lease will be terminated and ownership of those assets and facilities, including any improvements, will revert back to UHF.

Regent Acoba inquired about the 40-year term of the lease and plans for use of the property, as well as the university’s role and input into this use, once the lease expires. Mr. Han replied that the duration of the lease is based upon an established bond financing schedule and that, while it is difficult to predict what the property will be used for in 40 years, UHF is hopeful that use of the property will continue to benefit the university and its students.

Regent Acoba asked if the proposed affiliation agreement was modeled after other affiliation agreements. VP Young responded that the affiliation agreement is modeled after similar affiliation agreements that have been used by other universities. However, each affiliation agreement is unique in that it formalizes a university’s depth of involvement in, and affiliation with, a particular facility. Affiliation agreements are important because it solidifies a university’s connection to the project which is of particular interest to bond investors. He highlighted that the affiliation agreement being proposed by the university is more qualitative than quantitative because the university is attempting to minimize its obligations for the Atherton Project.

Stating that it was his recollection that the Atherton Project was initially intended to be a partnership between the university and UHF to develop student housing, Regent Acoba expressed his concerns about the university’s relinquishing control of the property to UHF which could result in the property being used for purposes that are not beneficial to the university once the lease expires. VP Young replied that the original plans to use the Atherton properties solely for student housing was not achievable because the university did not have the capital to complete this project and make it a profitable venture. UHF then acquired the parcels and worked with the university in reimagining the Atherton Project in a way that would still achieve the objective of providing student housing while utilizing private interests to develop and manage an economically viable facility. He stressed that the university did not provide any funding or assume any risks for the Atherton Project and does not own the properties. Therefore, the university does not have any control over use of the property in the future. He also emphasized that UHF will retain the property rights at the end of the lease term and that part of its mission is to raise philanthropic support and manage private investments for the benefit of the university. Regent Acoba reiterated his belief that the lease documents should include provisions to ensure that use of the Atherton property remains beneficial to the university once the lease expires.

President Lassner commended the work of VP Young, VP Syrmos, Executive Director Yamada, UHF, and their staff in reimagining the Atherton Project. The Atherton Project will provide a dynamic, immersive, educational, and living experience, and become part of a portfolio of innovation-related properties intended to create more
innovation and entrepreneurship opportunities to assist in the diversification of Hawai‘i’s economy.

VII. EXECUTIVE SESSION (closed to the public)

Chair Moore stated that it would not be necessary to convene in executive session.

VIII. AGENDA ITEMS (continued)

A. Report of the Tenure Permitted Interaction Group (For Information Only – No Board deliberation or action will occur at this meeting, pursuant to Section 92-2.5(b), Hawai‘i Revised Statutes. Deliberation and decision making will occur at the next Board meeting.)

Chair Moore explained the processes, procedures, and statutory parameters that govern permitted interaction groups. He noted that the Report of the Tenure Permitted Interaction Group that contains the findings of the permitted interaction group, as well as a proposed resolution and amended policies, have been provided in the board materials packet and is for information only, with discussion and potential action to occur at the next board meeting.

IX. ANNOUNCEMENTS

Chair Moore announced that the next board meeting was scheduled for October 21, 2021, at a location to be determined.

X. ADJOURNMENT

There being no further business, Regent Wilson moved to adjourn, seconded by Regent Haning, and with all members present voting in the affirmative, the motion carried and the meeting was adjourned at 11:17 a.m.

Respectfully Submitted,

Kendra Oishi
Executive Administrator and Secretary
of the Board of Regents
Item IV.

Report of the President

A-F

NO MATERIALS

ORAL REPORT
Item IV.G.

Report of the President
KauCC Campus Report

MATERIALS
Report to University of Hawai‘i Board of Regents

October 21, 2021

Joseph M. Daisy, Chancellor
Who Are Our Fall 2021 Students?

Student Gender
- Female: 38.5%
- Male: 56.1%
- Non-Binary/Other: 5.4%

Student Age
- 17 & Below: 16.5%
- 18-24: 46.1%
- 25-39: 29.3%
- 40 & Over: 8.1%

Top Two Student Ethnicities
- Asian: 24%
- Hawaiian/Part Hawaiian: 30%

Who Are Our Fall 2021 Students? (continued)

### Student Credit Load

<table>
<thead>
<tr>
<th></th>
<th>Percentage</th>
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<tbody>
<tr>
<td>Full-Time</td>
<td>18.3%</td>
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<tr>
<td>Part-Time</td>
<td>81.7%</td>
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### Financial Aid

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<tr>
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<th>Percentage</th>
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<tr>
<td>Pell Awarded</td>
<td>22.7%</td>
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<tr>
<td>Other Aid Awarded</td>
<td>23.3%</td>
</tr>
<tr>
<td>Other/No Aid Awarded</td>
<td>54.0%</td>
</tr>
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**Hawai`i**
- Private: 4.0%
- Public: 76.9%
- Not Hawai`i: 19.1%

**Award Type Sought**

<table>
<thead>
<tr>
<th>Degree and Certificates</th>
<th>Percentage</th>
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<tbody>
<tr>
<td>AAS</td>
<td>39%</td>
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<td>AS</td>
<td>51%</td>
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<td>CA</td>
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<td>CO</td>
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**Unclassified**

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<td>Early College</td>
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<tr>
<td>Other CC</td>
<td>27%</td>
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<tr>
<td>Non-Degree Seeking</td>
<td>7%</td>
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MAPS (2021): Headcount Enrollment, Multi-Year University of Hawai‘i: https://data.hawaii.edu/#/reports/ENRT00?SEMESTER=FALL&EARLY_ADMISSION_TOGGLE=ALL
Graduation Outcomes
Degrees and Certificates

Graduation Outcomes
Native Hawaiian Degrees and Certificates

Graduation and Success Rates (150% First Time, Full-Time)
STEM Degrees and Certificates

Pell Recipient Graduates

*Goal reset in FY 2016.

Transfers to 4-Year Institution Trends

Transfers to UH 4-Year

Transfers to All 4-Year

*Goal reset in FY 2016.

Staffing Trends

*Faculty includes Instructional, Non-Instructional, Full-Time Lecturers, and Part-Time Lecturers

MAPS report: Number of Personnel and FTE: All Funds (By Campus, Classification and Rank) – University of Hawai’i. Fall 2021 data from KauCC Human Resources office
Priorities and Future Plans

- Focus attention on Student Success to boost enrollment and completion (e.g., ‘AHA)
- Begin Strategic Planning process in alignment with UH and UHCC
- Draft ACCJC Midterm Report - due October 2022
- Align campus with UH Reimagine Initiative by: administering community and workforce surveys on Kauaʻi, and collaborating with neighbor island colleges
# 2018* Survey Results (Top 3)

## Programs Community Members Requested

<table>
<thead>
<tr>
<th>Program</th>
<th>Requested Percentage</th>
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<tbody>
<tr>
<td>Health Professions and Related Programs</td>
<td>46%</td>
</tr>
<tr>
<td>Business, Management, Marketing, and Related Support Services</td>
<td>25%</td>
</tr>
<tr>
<td>Education</td>
<td>18%</td>
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</table>

## Workforce Skills Employers Desired

<table>
<thead>
<tr>
<th>Skill</th>
<th>Desired Percentage</th>
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<tbody>
<tr>
<td>Communication</td>
<td>85%</td>
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<tr>
<td>Customer Service</td>
<td>83%</td>
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<tr>
<td>Logic/Problem-Solving</td>
<td>61%</td>
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* 2018 KauCC University Center Surveys given to community members and employers.
Student Recruitment Efforts

- 6 sixty-second radio ads
- 24 Podcasts
- 8 radio interviews
- Over 400 social media posts

Reference Grant Award Number: #S362A210082
HAWAII

UNIVERSITY OF HAWAII has been selected to receive funding under the EDUCATION OF NATIVE HAWAI'IANS PROGRAM (84.362A). This grant will be in the amount of $585,616.00 for the first budget period (09/01/2021 through 08/31/2022). It is anticipated that the grant will be for a total of 3 year(s). Please see the attached abstract for a brief description of the activities that will be funded under this grant.

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<tr>
<th>RECIPIENT NAME</th>
<th>AUSTRALIAN GOVERNMENT AGENCY</th>
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<tr>
<td>Kauai Community College</td>
<td>Department of Education</td>
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<tr>
<td>3-1901 Kaumualii Hwy.</td>
<td>Washington, D.C.</td>
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<tr>
<td>Lihue, HI 96766</td>
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<td>Joseph L. Daisy</td>
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<td><a href="mailto:j.daisy@hawaii.edu">j.daisy@hawaii.edu</a></td>
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<td>BI-AHAWAII WOULD LIKE TO SAY</td>
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<td>ON WINNING A BIDCA AWARD</td>
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<td>CATEGORY WON: DETAILS - COMMERCIAL</td>
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<td>PUBLIC WORKS - PROJECTS UP TO $15 MILLION</td>
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<td>PROJECT: KAULAI COMMUNITY COLLEGE CULTURAL CULINARY INSTRUCTIONAL FACILITY</td>
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| AUSTRALIAN GOVERNMENT AGENCY | ~ |
|-----------------------------| ~ |
| Department of Education | ~ |
Faculty Senate

Jonathan W. Kalk, Chair
Faculty Highlights

• One of 8 colleges to get payload on NASA RockSat-X

• Erin Millard (Mathematics): Phi Theta Kappa Pacific Region Coordinator

• Botany student research project has led to partnership with PEPP/DLNR to work on propagating rediscovered Kaua‘i fern *Adenophorus periens* (pendant kihi fern)
• Nursing program: 100% NCLEX pass rate for 2 years in a row
• Gigi Drent (Mathematics) awarded Dale P. Parnell Faculty Award (AACC)
• PHYS 170 and PHYS 272 reaching students on 4 islands by sending lab kits
• PHYS 175 (1cr) developed to better prepare PHYS 151 students to succeed in PHYS 170
Faculty Highlights: Grants

- From Fruit to Flour: $50K County of Kaua‘i Innovation Grant for developing Ulu flour
- $5K Grove Farm grant to Cognition Learning Center for STEM education
- Ka'ika'i A'o internship program for Native Hawaiian Trade-Tech students
- NSF Halau Ola Honua Grant: student projects in sustainability; funded lab kits; curriculum: ERTH 214 “Field Geology of Kaua‘i and Ni‘ihau” – open systemwide in S22
- NACCE/Verizon STEM program for rural young women; summer camp + mentoring through spring

Proposing:
- Systemwide Perkins Grant: to fund external certification for Accounting degrees and certificates
- TSETS STEM Grant: to fund KauCC provision of STEM professional development for K-12 teachers, including charter schools. Grant period: 5 years / 3 cohorts; 2 teachers per school
Challenges

• Limited number of faculty to teach courses and manage programs
  ENG sections are full and we are expecting two more upcoming retirements
  Not offered this year: MEDA, PHIL, SPAN, JPN, REL, GIS, POLS, SSM
  NURS cohort down from 24 to 18
• Student support services for off-island students
• Working in an environment of uncertainty:
  Potential budget cuts
  Impact of “One UH”
Decreasing Faculty Personnel

Kaua‘i CC: Full-Time Equivalents (FTE) since 2017

FTE “Full-Time equivalents”: 1 FTE is a teaching load of 27 credits in a year for instructional faculty or lecturers. For non-instructional faculty, 1 FTE represents a full-time workload for one individual.

MAPS report: FacStaff Table 0. Number of Personnel and FTE: All Funds (By Campus, Classification and Rank) – University of Hawai`i Fall 2021 data from KauCC Human Resources office.
Decreasing Faculty Personnel

Kaua‘i CC: FTE for All Faculty + Lecturers

MAPS report: FacStaff Table 0. Number of Personnel and FTE: All Funds (By Campus, Classification and Rank) – University of Hawai‘i
Fall 2021 data from KauCC Human Resources office.
Decreasing Faculty Personnel

Kaua‘i CC: Number of Instructional Faculty

MAPS report: FacStaff Table 0. Number of Personnel and FTE: All Funds (By Campus, Classification and Rank) – University of Hawai‘i
Fall 2021 data from KauCC Human Resources office.
University of Hawai’i
Operating Budget for Fiscal Year 2020-2021

<table>
<thead>
<tr>
<th>Fund</th>
<th>Projection* (in millions of dollars)</th>
<th>Actual** (in millions of dollars)</th>
<th>Difference</th>
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<tr>
<td>General Funds</td>
<td>443.3</td>
<td>535.5</td>
<td>92.2</td>
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<tr>
<td>Tuition and Fees</td>
<td>305.2</td>
<td>332.3</td>
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<tr>
<td>RTRF</td>
<td>52.1</td>
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<tr>
<td>Other Special</td>
<td>84.4</td>
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<tr>
<td>Other Revolving</td>
<td>21.1</td>
<td>16.3</td>
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<tr>
<td>Appropriated Federal</td>
<td>8.9</td>
<td>6.9</td>
<td>-2.0</td>
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<tr>
<td><strong>TOTAL</strong></td>
<td><strong>$915.0</strong></td>
<td><strong>$1,021.1</strong></td>
<td><strong>$106.1</strong></td>
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*BOR Budget and Finance Committee presentation on 9/3/2020
**BOR Budget and Finance Committee presentation on 9/3/2021
UH System FY21 Tuition and Fees

From 2020 Kaua’i CC Faculty Report to Board of Regents

Fall Tuition and Fees Charged

<table>
<thead>
<tr>
<th>Institution</th>
<th>Fall 2020</th>
<th>Fall 2019</th>
<th>Raw change</th>
<th>% change</th>
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</thead>
<tbody>
<tr>
<td>University of Hawai‘i at Mānoa</td>
<td>$126,474,186</td>
<td>$125,054,804</td>
<td>$1,419,383</td>
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<tr>
<td>University of Hawai‘i at Hilo</td>
<td>$16,152,003</td>
<td>$17,564,655</td>
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<tr>
<td>University of Hawai‘i - West O‘ahu</td>
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<td>$8,717,669</td>
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<td>Hawai‘i Community College</td>
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<td>$3,256,796</td>
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<tr>
<td>Honolulu Community College</td>
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<td>$3,387,385</td>
<td>$(120,912)</td>
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<tr>
<td>Kapi‘olani Community College</td>
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<tr>
<td>Kaua‘i Community College</td>
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<tr>
<td>Leeward Community College</td>
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<td>Maui College</td>
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<tr>
<td>Windward Community College</td>
<td>$2,027,279</td>
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UH System

<table>
<thead>
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<th>Institution</th>
<th>Fall 2020</th>
<th>Fall 2019</th>
<th>Raw change</th>
<th>% change</th>
</tr>
</thead>
<tbody>
<tr>
<td>UH System</td>
<td>$180,075,820</td>
<td>$182,470,569</td>
<td>$(2,394,748)</td>
<td>-1%</td>
</tr>
<tr>
<td>UHCC System</td>
<td>$28,508,133</td>
<td>$31,133,441</td>
<td>$(2,625,308)</td>
<td>-8%</td>
</tr>
</tbody>
</table>

Difference: $27.1 million

Source: University of Hawai‘i IRAO “Tuition and Fees Charged Report” www.hawaii.edu/institutionalresearch
UH System FY22 Tuition and Fees (continued)

From “Multi-Year Financial Forecasts”; BOR B&F Committee 9/2/21

<table>
<thead>
<tr>
<th>University of Hawai‘i Multi-Year Financial Forecast 2021-2027</th>
</tr>
</thead>
<tbody>
<tr>
<td>6-Year Rolling Financial Forecast</td>
</tr>
<tr>
<td>FY2022 through FY2027</td>
</tr>
<tr>
<td>University of Hawai‘i - All Campuses</td>
</tr>
</tbody>
</table>

$( millions)$

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Beginning Balance</td>
<td>325.8</td>
<td>406.6</td>
<td>405.0</td>
<td>392.1</td>
<td>377.9</td>
</tr>
</tbody>
</table>

**REVENUES**

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>General Fund Appropriation</td>
<td>535.5</td>
<td>495.7</td>
<td>500.9</td>
<td>484.0</td>
<td>484.0</td>
</tr>
<tr>
<td>Tuition and Fees</td>
<td>332.3</td>
<td>327.9</td>
<td>329.3</td>
<td>331.7</td>
<td>331.8</td>
</tr>
<tr>
<td>Research &amp; Training RF</td>
<td>52.6</td>
<td>49.0</td>
<td>48.8</td>
<td>48.8</td>
<td>48.8</td>
</tr>
<tr>
<td>Other Special Funds</td>
<td>77.5</td>
<td>88.4</td>
<td>103.9</td>
<td>112.1</td>
<td>112.9</td>
</tr>
<tr>
<td>Other Revolving Funds</td>
<td>16.3</td>
<td>36.7</td>
<td>38.2</td>
<td>38.6</td>
<td>39.6</td>
</tr>
<tr>
<td>Appropriated Federal</td>
<td>6.9</td>
<td>7.4</td>
<td>7.6</td>
<td>7.6</td>
<td>7.6</td>
</tr>
<tr>
<td>Transfers-in</td>
<td>440.0</td>
<td>462.7</td>
<td>402.2</td>
<td>400.5</td>
<td>399.6</td>
</tr>
<tr>
<td><strong>Total Revenues</strong></td>
<td><strong>1,461.0</strong></td>
<td><strong>1,467.8</strong></td>
<td><strong>1,430.9</strong></td>
<td><strong>1,423.2</strong></td>
<td><strong>1,424.2</strong></td>
</tr>
</tbody>
</table>

Actual FY21 $332.3 million
Projected FY22 $327.9 million

**UH IRAPO “Tuition and Fees Charged” Report – extracted 9/29/21**

**FY 22 UH System Tuition and Fees Revenue**

% change from FY21

-1.3%  
+6.2%

(T&F Charged)

Difference: $25.1 million
Priorities

• Obtain certainty on funding and campus structure
• Dialogue with UH System administration on future
• Resume strategic planning
• Replace faculty positions in areas with proven enrollment
• Resume 360 evaluations of administrators
• Secure some form of faculty representation with BOR
Associated Students of the University of Hawai‘i
Kaua‘i Community College Student Government (ASUH - KCC SG)

John Allen Keikialoha Kaohelaulii-Kahokuloa
President
Student Government Priorities

1. Recruitment and retention of student leaders
2. Co-sponsorship of outdoor fitness project
3. Installation of digital sign boards
4. Reopen Student Life Center
5. Improve communication and public relations using video vlogs, YouTube, & improved social media presence
6. Revamp student life website
7. Re-visit student life vision and mission and re-imagine student life brand
8. Install 10 new pole banners to advertise student life activities and functions
9. Continue to work with Chancellor and Vice Chancellor for Student Affairs to address student needs and concerns
Accomplishments, Projects & Activities

1. Established discord platform for student access
2. Provided virtual passes for students to attend workshops and access speakers that address topics from mental health awareness to planning activities in the COVID era
3. Replaced broken umbrellas in One Stop Center
4. Provided student survival kits giveaways
5. Partnered with UH Maui College & Honolulu CC to create Video for Excellence in Education Webinar, “What I Wish My Instructor Knew…”

6. Participating in panel discussion, “What Do I Want My Campus To Know About Me”

7. Partnered with Hawai‘i Student Life Advisors (HASLA) on Ho‘opili Mau Virtual Workshops: Mental Health and Wellness; Recruitment Talk Story and Networking, and Game Night with Student Leaders

8. Created U.S. Constitution Day Display in One Stop Center and provided constitution booklets to students, faculty and staff

9. Partnered with Honolulu CC Student Life to play “Constitution Day Virtual Bingo”
COVID-19 has severely affected our Student Life programs:

• Our clubs have come to a stand-still.
• Our Student Life Center is closed & has not been open since March 2020.
• We are unable to offer outdoor programs & activities.

However, we are positive and have pivoted our programs and shifted to online programs for Fall 2021:

• Movie Night Streaming  
• Online Costume Contest  
• “What are you thankful for?”  
• Finals Stress Relief Activities

Once our UH System receives the green light, we will offer hybrid and face-to-face activities and get back to a sense of normalcy for our students and community.
Questions?

Mahalo Nui Loa
MEMORANDUM

TO: Randy Moore, Chairperson  
    University of Hawai'i Board of Regents

VIA: David Lassner, President  
     University of Hawai'i

FROM: Tim Dolan, Vice President of Advancement  
      University of Hawai'i Foundation

SUBJECT: UH Foundation Report

DATE: October 12, 2021

Please find information submitted by the Foundation for the October 21 Board of Regents meeting:

- Development Operations Report as of September 30, 2021 for FY 2022 (preliminary)
- Funds Raised Leadership Report by Campus as of September 30 for FY 2015 through FY 2022 (preliminary)
- Funds Raised by Source, Gift Type, Account Category and Purpose as of September 30, 2021 for FY 2022 (preliminary)
- Funds Expended by UI Programs as of September 30 for FY 2019 through FY 2022 (preliminary)
- Endowment Executive Summary as of September 30, 2021

Thank you for your assistance and please let us know if anything further is needed or required.

Attachments
Fundraising Result (07/01/2021 - 09/30/2021): $26.8 M

Fundraising Result Summary

<table>
<thead>
<tr>
<th>Account Type</th>
<th>Gifts &amp; Pledges</th>
<th>Deferred Gifts</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Endowment</td>
<td>$11,851</td>
<td>$0</td>
<td>$11,851</td>
</tr>
<tr>
<td>Expendable</td>
<td>$8,767</td>
<td>$28</td>
<td>$8,795</td>
</tr>
<tr>
<td>Revocable Deferred Gifts</td>
<td>$0</td>
<td>$6,126</td>
<td>$6,126</td>
</tr>
<tr>
<td>Gifts-In-Kind</td>
<td>$2</td>
<td>$0</td>
<td>$2</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$20,619</strong></td>
<td><strong>$6,154</strong></td>
<td><strong>$26,773</strong></td>
</tr>
</tbody>
</table>

Comparison to Previous Fiscal Year

<table>
<thead>
<tr>
<th></th>
<th>Number of Major Gifts</th>
<th>Major Gifts Total</th>
<th>Number of Annual Gifts &lt;$25k</th>
<th>Annual Gifts Total</th>
<th>Gifts Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Current Fiscal Year</td>
<td>70</td>
<td>$24,652</td>
<td>4,678</td>
<td>$2,122</td>
<td>$26,773</td>
</tr>
<tr>
<td>Previous Fiscal Year</td>
<td>80</td>
<td>$15,256</td>
<td>5,206</td>
<td>$2,059</td>
<td>$17,314</td>
</tr>
<tr>
<td>Comparison Favorable/(Unfavorable)</td>
<td>(10)</td>
<td>$9,396</td>
<td>(528)</td>
<td>$63</td>
<td>$9,459</td>
</tr>
</tbody>
</table>

70 major gifts accounted for 92% of the total funds raised    80 major gifts accounted for 88% of the total funds raised

Beginning in FY2020, present value (PV) is used in funds raised calculations for deferred gifts. Prior to FY2020, face value (FV) is used.
## Funds Raised Leadership Report

**Fiscal Years 2015-2022**

**As of September 30**

*All dollars in thousands*

(Gifts, Pledges, Matching Gifts, Gifts in Kind, Grants and Planned Gifts)

<table>
<thead>
<tr>
<th>Unit</th>
<th>2015</th>
<th>2016</th>
<th>2017</th>
<th>2018</th>
<th>2019</th>
<th>2020</th>
<th>2021</th>
<th>2022 *</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manoa</td>
<td>$8,075</td>
<td>$4,492</td>
<td>$4,310</td>
<td>$5,729</td>
<td>$6,323</td>
<td>$4,157</td>
<td>$11,012</td>
<td>$24,502</td>
</tr>
<tr>
<td>Hilo</td>
<td>$490</td>
<td>$570</td>
<td>$619</td>
<td>$1,401</td>
<td>$310</td>
<td>$276</td>
<td>$802</td>
<td>$349</td>
</tr>
<tr>
<td>West Oahu</td>
<td>$14</td>
<td>$25</td>
<td>$34</td>
<td>$248</td>
<td>$73</td>
<td>$117</td>
<td>$212</td>
<td>$12</td>
</tr>
<tr>
<td>Hawaii CC</td>
<td>$4</td>
<td>$155</td>
<td>$17</td>
<td>$459</td>
<td>$182</td>
<td>$33</td>
<td>$377</td>
<td>$40</td>
</tr>
<tr>
<td>Honolulu CC</td>
<td>$39</td>
<td>$182</td>
<td>$53</td>
<td>$26</td>
<td>$31</td>
<td>$183</td>
<td>$326</td>
<td>$6</td>
</tr>
<tr>
<td>Kapiolani CC</td>
<td>$529</td>
<td>$187</td>
<td>$295</td>
<td>$351</td>
<td>$1,141</td>
<td>$64</td>
<td>$335</td>
<td>$566</td>
</tr>
<tr>
<td>Kauai CC</td>
<td>$288</td>
<td>$398</td>
<td>$114</td>
<td>$74</td>
<td>$102</td>
<td>$241</td>
<td>$8</td>
<td>$358</td>
</tr>
<tr>
<td>Leeward CC</td>
<td>$22</td>
<td>$17</td>
<td>$32</td>
<td>$17</td>
<td>$12</td>
<td>$85</td>
<td>$7</td>
<td>$49</td>
</tr>
<tr>
<td>Maui College</td>
<td>$66</td>
<td>$51</td>
<td>$162</td>
<td>$270</td>
<td>$34</td>
<td>$107</td>
<td>$337</td>
<td>$226</td>
</tr>
<tr>
<td>Windward CC</td>
<td>$81</td>
<td>$24</td>
<td>$308</td>
<td>$171</td>
<td>$25</td>
<td>$23</td>
<td>$273</td>
<td>$84</td>
</tr>
<tr>
<td>Multi-Campuses</td>
<td>$2,744</td>
<td>$1,379</td>
<td>$7,405</td>
<td>$618</td>
<td>$2,648</td>
<td>$931</td>
<td>$3,627</td>
<td>$582</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td><strong>$12,352</strong></td>
<td><strong>$7,478</strong></td>
<td><strong>$13,348</strong></td>
<td><strong>$9,365</strong></td>
<td><strong>$10,880</strong></td>
<td><strong>$6,217</strong></td>
<td><strong>$17,314</strong></td>
<td><strong>$26,773</strong></td>
</tr>
</tbody>
</table>

* Preliminary

---

*Beginning in FY2020, present value (PV) is used in funds raised calculations for deferred gifts. Prior to FY2020, face value (FV) is used.*
Funds Expended by UH Programs
Fiscal Years 2019-2022 *
As of September 30
* Fiscal Year 2022 Preliminary
All dollars in thousands

Funds Expended By Purpose

<table>
<thead>
<tr>
<th>Purpose</th>
<th>2019</th>
<th>2020</th>
<th>2021</th>
<th>2022</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Aid &amp; Services</td>
<td>$482</td>
<td>$4,032</td>
<td>$3,982</td>
<td>$3,111</td>
<td>$5,580</td>
</tr>
<tr>
<td>Faculty &amp; Academic Support</td>
<td>$1,282</td>
<td>$2,346</td>
<td>$1,331</td>
<td>$1,283</td>
<td>$11,563</td>
</tr>
<tr>
<td>Research</td>
<td>$2,095</td>
<td>$2,550</td>
<td>$1,617</td>
<td>$697</td>
<td>$9,017</td>
</tr>
<tr>
<td>Capital Projects</td>
<td>$129</td>
<td>$536</td>
<td>$233</td>
<td>$1,650</td>
<td>$2,294</td>
</tr>
<tr>
<td>Athletics</td>
<td>$542</td>
<td>$531</td>
<td>$383</td>
<td>$1,546</td>
<td>$10,581</td>
</tr>
<tr>
<td>Other Programs</td>
<td>$1,049</td>
<td>$1,568</td>
<td>$1,471</td>
<td>$2,294</td>
<td>$10,581</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$5,580</td>
<td>$11,563</td>
<td>$9,017</td>
<td>$10,581</td>
<td>$40,841</td>
</tr>
</tbody>
</table>
Funds Expended by UH Programs, continued
Fiscal Years 2019-2022 *
As of September 30
* Fiscal Year 2022 Preliminary
All dollars in thousands
UNIVERSITY OF HAWAII FOUNDATION
Statement of Operations - Unaudited
For the Fiscal Periods Ending September 30, 2018, 2019, 2020 and 2021

<table>
<thead>
<tr>
<th></th>
<th>September 30, 2018</th>
<th>September 30, 2019</th>
<th>September 30, 2020</th>
<th>September 30, 2021</th>
</tr>
</thead>
<tbody>
<tr>
<td>REVENUES:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unrestricted gifts</td>
<td>$ 229,131</td>
<td>$ 142,383</td>
<td>$ 522,947</td>
<td>$ 66,213</td>
</tr>
<tr>
<td>Income from expendable accounts</td>
<td>784,236</td>
<td>879,954</td>
<td>245,766</td>
<td>619,926</td>
</tr>
<tr>
<td>Income from endowment accounts</td>
<td>1,005,240</td>
<td>1,043,647</td>
<td>1,077,456</td>
<td>1,235,229</td>
</tr>
<tr>
<td>Service fee on gifts and non-gifts</td>
<td>548,964</td>
<td>601,507</td>
<td>514,413</td>
<td>612,650</td>
</tr>
<tr>
<td>Alumni Relations revenue</td>
<td>8,347</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>UH contract for services</td>
<td>800,000</td>
<td>750,000</td>
<td>750,000</td>
<td>750,000</td>
</tr>
<tr>
<td>Other payments for services from UH &amp; UHAA</td>
<td>92,078</td>
<td>95,409</td>
<td>89,724</td>
<td>-</td>
</tr>
<tr>
<td><strong>Total Revenues</strong></td>
<td><strong>$ 3,467,996</strong></td>
<td><strong>$ 3,512,901</strong></td>
<td><strong>$ 3,200,306</strong></td>
<td><strong>$ 3,284,017</strong></td>
</tr>
</tbody>
</table>

|                      |                    |                    |                    |                    |
| EXPENSES             |                    |                    |                    |                    |
| Development          |                    |                    |                    |                    |
| Personnel            | $ 1,330,819        | $ 1,316,333        | $ 1,426,819        | $ 1,413,643        |
| Program              | 222,036            | 180,251            | 385,589            | 537,084            |
| Campaign             | 9,840              | 3,200              | -                  | -                  |
| Alumni Relations     |                    |                    |                    |                    |
| Personnel            | 113,293            | 129,771            | 138,386            | 84,006             |
| Program              | 28,956             | 21,031             | 48,424             | 40,216             |
| Service & Support    |                    |                    |                    |                    |
| Personnel            | 726,115            | 777,076            | 678,307            | 673,382            |
| Program              | 227,338            | 182,854            | 159,557            | 199,696            |
| UH Support Fund      | 37,500             | 37,500             | 37,500             | 37,500             |
| King Street Office   | -                  | 139,434            | 139,124            | 133,357            |
| **Total Expenses**   | **$ 2,695,896**    | **$ 2,787,449**    | **$ 3,013,707**    | **$ 3,118,884**    |
| **Net Revenues Over(Under) Expenses** | **$ 772,100** | **$ 725,551** | **$ 186,599** | **$ 165,134** |
Endowment Executive Summary
As of September 30, 2021

Total assets in the University of Hawai‘i Foundation stood at $459.8M

Investment performance of the University of Hawai‘i Foundation endowment portfolio affected by a number of macroeconomic factors as performance of capital markets was mixed in the third quarter of 2021, with muted gains or losses across many asset classes. Global equities declined for the first time since the onset of the pandemic; developed shares mildly advanced, but emerging equivalents experienced sharp drawdowns. Growth bested value, while large caps edged small caps. Sovereign bonds trailed corporate equivalents, and investment-grade corporates lagged high-yield peers. Inflation-linked bonds advanced. Real assets were mixed as commodities were the top-performing asset class, but natural resources equities and developed REITs declined.

Several key themes weighed on risk assets near the end of the quarter, particularly signs that central banks were prepared to tighten monetary policy, coupled with political uncertainty around the globe. On the latter theme, partisan standoffs in the United States, pivotal elections in Germany and Japan, and ongoing regulatory crackdowns in China all added to market volatility. Many central banks have adopted more hawkish stances, and some emerging markets banks have even raised interest rates in efforts to prevent runaway inflation, as year-over-year price changes remained elevated in third quarter. Federal Reserve Chairman Jerome Powell, who has frequently characterized the bout of inflation as transitory, indicated that higher prices could last for longer than initially expected. Fed members have consequently pulled forward rate hike expectations, with more members now forecasting rate hikes as early as 2022. Political posturing in the United States has pushed the country to its sixth debt ceiling standoff in the last ten years.

Inflation-sensitive assets led performance in third quarter, supported by rising prices, supply bottlenecks, and increasingly hawkish central bank communiqués. Commodities gained the most and are the top performer over the past year. US TIPS topped all fixed income categories; high-yield corporates outgained investment-grade equivalents, and Treasuries edged out investment-grade corporates. US large caps outperformed all other major equity categories, while US small caps and emerging markets stocks lagged and were the bottom-performing asset classes in third quarter. However, over the past 12 months US small caps were a top performer, and emerging equities returned nearly 20%. Gold prices retreated the most over the last year. High frequency US economic data were generally robust, but momentum waned as third quarter unfolded. US GDP grew at an annualized rate of 6.7% in second quarter, well below initial expectations, while second quarter GDP deflator—a more comprehensive measure of inflation than CPI or the Fed’s preferred measure, PCE—grew at its highest
level in 40 years. Fed officials debated a more hawkish view and were split on whether to increase interest rates as soon as next year. The Fed had previously noted that higher rates would not come until at least 2023.

<table>
<thead>
<tr>
<th>PORTFOLIO PERFORMANCE SUMMARY (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>As of 9/30/2021</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>MONTH TO DATE</th>
<th>CALENDER YTD</th>
<th>CUMULATIVE TRAILING 1 YEAR</th>
<th>ANNUALIZED SINCE INCEPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total Assets</strong></td>
<td>-1.5</td>
<td>11.7</td>
<td>28.5</td>
<td>7.3</td>
</tr>
<tr>
<td><strong>Total Assets Portfolio</strong></td>
<td>-2.1</td>
<td>6.8</td>
<td>19.0</td>
<td>6.2</td>
</tr>
<tr>
<td><strong>Benchmark</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Value Add</strong></td>
<td>0.6</td>
<td>4.9</td>
<td>9.5</td>
<td>1.1</td>
</tr>
</tbody>
</table>
Development Overview

- $26.8M raised as of September 30, 2021
- $19.7M raised for Student Aid and Faculty Support
- Capital Campaign Preparation
Funds Expended by UH Programs
For Fiscal Periods Ending September 30
All dollars in thousands

FY 2019 Fall Scholarship Payment was made in October

Large research funding concluded
Culinary Institute of the Pacific
Ching Complex

<table>
<thead>
<tr>
<th></th>
<th>2019</th>
<th>2020</th>
<th>2021</th>
<th>2022</th>
</tr>
</thead>
<tbody>
<tr>
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</tr>
<tr>
<td>Other Programs</td>
<td>$1,049</td>
<td>$1,568</td>
<td>$1,471</td>
<td>$2,294</td>
</tr>
<tr>
<td>Total</td>
<td>$5,580</td>
<td>$11,563</td>
<td>$9,017</td>
<td>$10,581</td>
</tr>
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</table>
$459.8M as of 9/30/2021

Macro economic factors weighed on performance near the end of the quarter

Inflation-sensitive assets led performance in third quarter
Agenda Items:

A. Update on Western Association of Schools and Colleges (WASC) Accreditation

1. Overview of Accreditation, Roles and Responsibilities of a Board, and Considerations for Accreditation within a University System

2. Campus Updates

Jamienne Studley, President of WASC Senior College and University Commission (WSCUC), provided an overview of accreditation, highlighting the context under which institutional accreditation takes place and reviewing the various elements of the WASCUC accreditation process. She noted that WSCUC accredits institutions rather than individual programs and places an emphasis on institutional structures, governance, processes, and resources. Ms. Studley also reviewed the changing landscape of higher education and actions being taken by WSCUC to assist institutions of higher education in meeting these new demands and expectations. The Mānoa Provost and Chancellors of UH Hilo, UH West O‘ahu, and UH Maui College each provided an update on the progress of accreditation for their respective campus.

Discussion occurred about specific principles of the accreditation process used by WSCUC as well as relationships between governing boards of an IHE and their respective legislatures.

B. Committee Work Plan

Chair Wilson referenced the Committee Work Plan noting that it would be used as an outline of the work to be performed by the committee during the coming year and inquired if regents had any comments. No comments or questions were raised.

C. General Education (GenEd) Redesign Update

Debora Halbert, Associate Vice President for Academic Strategy, provided a brief update on the work and progress of the Summer 2021 Gen Ed Institute (Summer Institute) that was tasked with examining and revamping the Gen Ed curriculum at the university to address concerns with dated content and program structure and governance, as well as transfer and articulation challenges between campuses.

Professor Celia Bardwell-Jones (UHH) and Professor Ryan Girard (Kauai CC), who are both members of the Summer Institute’s Gen Ed Curriculum Design Team (Design Team), provided specifics about the Gen Ed redesign process and highlighted that a proposal for a Gen Ed curriculum that is more of a competency-based model rather than a diversification-based model has been developed and will be distributed for review by the Design Team in the near future. If approved by the Design Team, direct feedback on the proposal will be sought by the faculty senates and broader university community.
Agenda Items:

A. Coaches Corner: Maureen Cole, University of Hawai‘i at Mānoa (UHM) Women’s Water Polo Coach

A talk story session was held with UHM Women’s Water Polo Coach Maureen Cole who spoke about both her personal background and athletic experiences and provided insights into her coaching philosophy, stating that her job was not only to inspire and challenge young women to be champions in the pool, but more importantly, to assist young women in understanding their full potential to becoming strong, confident champions in the classroom and life. She also reviewed the value system adopted by wahine water polo; noted several of the adversities overcome by wahine water polo during the COVID 19 pandemic; underscored the academic and cultural diversity of the team; and highlighted several of the team’s athletic and academic successes including securing four Big West Conference championships, appearing in four National Collegiate Athletic Association (NCAA) national championship tournaments; and producing numerous all-academic student-athletes.

B. Committee Work Plan

Chair Acoba referenced the Committee Work Plan (Work Plan) noting that it would be used as an outline of the work to be performed by the committee during the coming year. He also stated that reference materials specific to the committee, including statutes, as well as board policies and bylaws, were provided along with the Work Plan and suggested that committee members review those documents. The Work Plan was approved with all committee members present voting in the affirmative.

C. Health and Safety Matters: UHM and UH Hilo (UHH)

Dr. Jonathan Sladky, UHM Team Physician, and UHH Athletic Director (AD) Patrick Guillen discussed various health and safety matters related to UHM and UHH athletics. They reported on each athletic department’s established COVID-19 screening and testing protocols, as well as actions taken to protect and monitor the health and safety of student-athletes and staff. Vaccination rates among student-athletes, as well as ongoing vaccination efforts, were reviewed with UHH reporting that 97.5 percent of its student-athletes have been vaccinated and UHM stating that the majority of its sports-teams are experiencing vaccination rates of more than 85 percent. Details were also provided on UHM’s and UHH’s mental health awareness and concussion programs.

Discussion occurred on vaccination rates, including the reasons for lower vaccination rates within certain sports and among certain student-athletes, the possibility of increasing vaccination rates in some sports, and the prospects of returning to normal athletic competition in the future.

D. Ching Complex Status and Potential Uses and Update on Aloha Stadium

UHM AD David Matlin provided an update on the facility improvements to the Clarence T.C. Ching Athletic Complex (Ching Complex) that were recently completed and summarized a number of the facility upgrades that were made, including seating expansion to accommodate in excess of 9,300 fans. He also reviewed NCAA and Mountain West Conference requirements for fan attendance explaining that, while the requirement to
average 15,000 or more fans per game measured over a two-year period were suspended for the 2020 and 2021 seasons, they will be reinstated for the 2022 and 2023 seasons which will necessitate the expansion of the Ching Complex or require UHM Athletics to seek a waiver from this requirement. The possibility of increasing seating to accommodate the requirement for 15,000 fans by adding seats above the hospitality rooms on the Makai end of the field, as well as adding seats in the Ewa endzone was also discussed.

While the New Aloha Stadium Entertainment District continues to be slated for completion by 2024, with demolition of Aloha Stadium anticipated in 2022, AD Matlin stated that UHM Athletics is unaware of any updates to these plans other than those contained within announcements already made by the Stadium Authority.

Discussion occurred on upgrading the Ching Complex to meet established attendance requirements for the 2022 season and beyond.

E. Academic Progress Report: UHM and UHH

Academic progress reports were presented for UHM and UHH including academic performance rates (APRs), success rates, and graduation rates for student-athletes during the last academic year. Notably, a record number of UHH student-athletes (154) were placed on the UHH honor rolls earning a cumulative grade point average (GPA) of 3.0 or higher. At UHM, an all-time high APR of 986 exceeded the national average of 983, and 356 student-athletes were considered scholar-athletes which is the highest number ever recorded by UHM Athletics and the first time this number has surpassed 300. It was noted that a reduction in APR for a given sport could result in a loss of scholarships for that particular sport.

Discussion occurred on the significance of APR and academic success rates and their impacts on UHM and UHH.
Agenda Items:

A. Atherton Student Housing and Innovation Center (Center) Project at Tax Map Key No. (1) 2-8-016-001:

1. Recommend Board Approval of a Sublease between the University of Hawai‘i and UHF RISE Student Housing LLC to allow the University to sublease space in the Center

2. Recommend Board Approval of a Student Housing Affiliation Agreement between the University of Hawai‘i and UHF RISE Student Housing LLC to support the Center

VP Young briefly reviewed background information on the Atherton Project which focuses on the development of innovation space and student housing units, and is being undertaken through a public-private partnership between the University of Hawai‘i Foundation (UHF), which owns the Atherton properties, and the Hunt Development Group. He provided an update to the presentation made to the board at its September 16, 2021, meeting explaining that the non-profit entity which the university intends to enter into a sublease and student housing affiliation agreement with has been identified as UHF RISE Student Housing LLC. As such, the administration was seeking board approval of both agreements.

Discussions occurred on the necessity of the Project, as well as the specifics of each agreement including responsible parties for maintenance and operation of the facilities, lease rent, financing and ownership, populations that would use or be served by the Project, and revenue generating capabilities of the Project. Administration reiterated that the property is owned by UHF and the university will not be responsible for the bonds or debt service on the Project.

Action: The committee recommended board approval of the sublease agreement and student housing affiliation agreement between the university and UHF RISE Student Housing LLC, with one member voting no.
A. **Research Project Presentation: “Kāhuli: Research for a Changing World”**  
Presentation by Dr. Melissa Price, Assistant Professor, Department of Natural Resources & Environmental Management, College of Tropical Agriculture and Human Resources, University of Hawai‘i (UH) at Manoa

Dr. Price provided a synopsis of her research and conservation work on the Kāhuli, or Hawaiian tree snail, noting that these efforts revealed the magnitude of the ecological challenges facing Hawai‘i. She also detailed the breadth of ecological threats facing plant and animal species throughout both Hawai‘i and the world and highlighted several research and information gathering efforts currently being undertaken at the university to address some of these issues. It was noted that Hawai‘i’s unique environment provides the university with an opportunity to become a world leader in ecological conservation biology and restoration and natural resource management.


Mr. Enos provided a report on OII noting that its mission is to serve as a catalyst, convener, and pathway for students, faculty, indigenous organizations, and regional communities of practice to support and increase the contemporary application of ancestral knowledge and systems as a means of solving local and global challenges. He reviewed the guiding principles used by OII to provide a foundation for the future of indigenous innovation that is grounded in ancestral prerogatives, knowledge, and practice; went over the strategic goals of OII and evaluation metrics established to measure its success; provided information on partnerships; and described future work plans.

C. **Committee Work Plan**

Chair Bal referenced the Committee Work Plan noting that it would be used as an outline of the work to be performed by the committee during the coming year and that it was developed in conjunction with the VP for Research and Innovation.

D. **Research and Innovation Fiscal Year (FY) 2021 Year-in-Review and FY 2022 Outlook**

VP Syrmos reported on the extramural awards received for FY 2021; provided a breakdown of trends, significant awards, and award amounts by campus; and summarized data pertaining to various research and innovation metrics. He noted that the university received $139.5 million in award revenues for the fourth quarter of FY 2021, which was 54.2 percent more than the same period last year, and a total of $485.5 million in extramural awards for FY 2021, which was $3 million shy of the record amount of $488 million received in FY 2012. While extramural awards received for FY 2022 to date are lagging slightly behind the amount received during the same period last year, the university remains cautiously optimistic that growth in extramural funding will continue with projected total extramural award revenues anticipated to be near $450 million for FY 2022.

E. **Strategic Directions: Extramural Awards Targets vs. Actuals FY 2014 - FY 2021**
VP Syrmos stated that the university recently amended the methodology it uses to
determine extramural award targets and that these determinations are now based upon
historical trends as well as an assumption of a growth rate of five percent per year. He
provided historical trend data of annual targets versus the actual amount of extramural
awards received by the university since 1975 and reviewed both research and non-
research extramural award targets versus actuals for each of the major units of the
university during the last five years. A comparison of the revised targets established using
the new calculation methodology in relation to the original targets established was also
provided for FY 2021.
Item VI.E.
Affiliate Reports

NO MATERIALS
ORAL REPORTS
September 30, 2021

TO: Randolph G. Moore  
Chairperson, Board of Regents

Alapaki Nahale-a  
Chair, Committee on Planning and Facilities  
Board of Regents

VIA: David Lassner  
President

FROM: Vassilis L. Syromos  
Vice President for Research and Innovation

Kalbert K. Young  
Vice President for Budget and Finance/Chief Financial Officer

SUBJECT: Request for Board of Regents Approval of a Sublease and Student Housing Affiliation Agreement between the University of Hawai‘i and UHF RISE Student Housing LLC Related to the Atherton Student Housing and Innovation Center

We present for your consideration and action the same actions requested in the attached memorandum submitted (dated) September 10, 2021, for information and discussion at the regular meeting of the Board of Regents on September 16, 2021 ("Memo"), with the following changes:

1. Nonprofit Entity has been Identified. At the time of the previous submittal, we were not yet able to identify the nonprofit entity that would serve as the lessor of the Atherton property. The University of Hawai‘i Foundation ("UHF") has since established a single-purpose entity, UHF RISE Student Housing LLC, to serve in this role as lessor. UHF is its only member. Wherever the Memo and summary major term sheets for the Student Housing Affiliation Agreement and Sublease Agreement state, "nonprofit entity to be identified," please insert "UHF RISE Student Housing LLC." UHF RISE Student Housing LLC is also referred to as the "Entity" and the "Landlord."

2. Use of Structure after Ground Lease Ends. Based on comments from the Board at its September 16, 2021 meeting, the parties agreed to add the following to the Summary Major Term Sheet for the Student Housing Affiliation Agreement:
According to the Ground Lease entered into between University of Hawai‘i Foundation ("UHF") and Entity, the ownership of the Student Housing Facility will revert to UHF upon the termination of the Ground Lease. Consistent with the UHF organization’s purpose, chartered in 1955, to advance the UH mission, UHF agrees to continue using the Student Housing Facility to support the UH mission and priorities to provide opportunities for students, alumni, and the public and contribute to institutional excellence. UHF acknowledges and agrees that uses allowed on the Property and within the Project are limited and subject to the LRDP and PRU, as amended.

All other major terms and the transaction described in the Memo and term sheets remain unchanged. The Atherton organizational structure diagram that was presented to the Board on September 16, 2021 has been updated to reflect the UHF RISE Student Housing LLC entity and is included as an attachment.

Attachments:
1. Memorandum from V. Syrmos and K. Young via D. Lassner to R. Moore and A. Nahale-a re Request for Board of Regents Approval of a Sublease and Student Housing Affiliation Agreement between the University of Hawaii and a Nonprofit Entity to be Identified Related to the Atherton Student Housing and Innovation Center, September 10, 2021.
2. Atherton Organizational Arrangement.

c: Executive Administrator and Secretary to the Board Kendra Oishi
September 10, 2021

TO: Randolph G. Moore
Chairperson, Board of Regents

Alapaki Nahale-a
Chair, Committee on Planning and Facilities
Board of Regents

VIA: David Lassner
President

FROM: Vassilis L. Syrmos
Vice President for Research and Innovation
Kalbert K. Young
Vice President for Budget and Finance/Chief Financial Officer

SUBJECT: Request for Board of Regents Approval of a Sublease and Student Housing Affiliation Agreement between the University of Hawai‘i and a Nonprofit Entity to be Identified Related to the Atherton Student Housing and Innovation Center

A. SPECIFIC ACTIONS REQUESTED

We request the following as further discussed herein:

1. Board of Regents

   a. **Sublease Agreement.** Board of Regents approval of the Sublease between the University of Hawai‘i and a Nonprofit Entity to be identified to allow the University to sublease space in the Atherton Student Housing and Innovation Center currently under construction at Tax Map Key No. (1) 2-8-016-001 ("Sublease").

   b. **Affiliation Agreement.** Board of Regents approval of the Student Housing Affiliation Agreement between the University of Hawai‘i and a Nonprofit Entity to be identified to support the Atherton Student Housing and Innovation Center currently under construction at Tax Map Key No. (1) 2-8-016-001 ("Affiliation Agreement").
B. RECOMMENDED EFFECTIVE DATE

Upon approval of the Board of Regents.

C. ADDITIONAL COST

1. Sublease

Sublease rent by the University of Hawai‘i (“University”) is $250,000.00 per year, to be offset by the University’s ability to sublet office space.

2. Affiliation Agreement

No cost to the University.

D. PURPOSE

1. Sublease

For a term to end in forty (40) years from the date of occupancy currently projected for summer of 2023, within the Building to be constructed by Developer, the University will sublease a gross leasable area of approximately: (i) 8,978 square feet located on the second floor that will house the University’s Pacific Asian Center for Entrepreneurship program (“PACE Facility”); and (ii) 14,598 square feet located on the second and third floor to be sublet by the University as a commercial office space (“Office Facility”). The PACE Facility and Office Facility is a combined gross leasable area of approximately 23,576 square feet (“UH Facility”).

The UH Facility will be used for academic classrooms, administrative offices, and program related activities, including academic competitions, receptions, mixers, community events, co-working spaces, club meetings, and to support innovation and companies. The University will sublet space for offices in the Office Facility to offset annual rent. The University is not responsible for any common area maintenance fees but must pay for utilities that serve the UH Facility. The University’s uses of the UH Facility are intended to complement the privately run, approximately 220-unit student housing facility, containing 374 beds (“Student Housing Facility”) and the approximately 1,700 square feet located on the first floor to be leased as a retail space (“Retail Facility”). Together, the UH Facility, Student Housing Facility, and Retail Facility is referred to herein as the “Building.” See Exhibit A, Summary of Sublease Major Terms.

2. Affiliation Agreement

For a term to end with the bond repayment for the Project, or approximately 40 years, the University will enter into the Affiliation Agreement to support the
Student Housing Facility. The Student Housing Facility will be privately
developed, constructed, and operated with no financial obligation on the part
of the University. The Affiliation Agreement ensures a level of service for
University students who reside in the Student Housing Facility and
coordinates certain operational details with the UH Mānoa campus and
Student Housing Services. See Exhibit B, Summary of Affiliation
Agreement Major Terms.

E. BACKGROUND

UHF Atherton Student Housing LLC, a Hawai‘i limited liability company
("Fee Owner"), whose sole member is the University of Hawai‘i Foundation, a
Hawai‘i nonprofit corporation, and a recognized 501(c)(3) organization under the
Internal Revenue Code ("Foundation" and with the Fee Owner, the "Foundation
Entities"), holds fee simple title to Tax Map Key No. (1) 2-8-016-001 containing
approximately 43,107 square feet ("Property").

On December 28, 2018, Fee Owner issued a request for proposals entitled
"Request for Proposals for the Development of a New Mixed-Use Student
Housing/Innovation and Entrepreneurship Project” now known as the “Atherton
Student Housing and Innovation Center” ("RFP"), which solicited proposals for the
development of a multi-use student housing project to be located on the Property
as more particularly described in the RFP ("Project").

On April 3, 2019, Hunt Development Group, LLC, a Texas limited liability company
("Developer") proposed a development concept, along with business, operating,
and financing terms contemplated to develop, deliver, operate, and maintain the
Project ("Proposal"), and based on the Proposal, the Foundation Entities entered
into agreements with Developer to develop the Project.

To meet the objective of privately financing the Project, Developer proposed the
following financing structure:

- Public Finance Authority ("PFA")\(^1\) will issue taxable and non-taxable student
  housing revenue bonds ("Bonds").
- A nonprofit entity ("Entity") will be created or selected use Bond proceeds to:
  (i) pay the costs of the acquisition, demolition, renovation, construction,
  furnishing, and equipping of the Project on the Property; (ii) establish a debt
  service reserve funds for the Bonds; (iii) pay the interest expected to accrue on
  the Bonds; (iv) pay working capital and marketing costs associated with the
  Project; (v) fund an operating reserve fund; (vi) fund a coverage reserve fund;
  and (vii) pay the costs of issuance.

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\(^1\) PFA is "a governmental entity established under Section 66.0304 of the Wisconsin State Statutes,
authorized to issue tax-exempt, taxable, and tax credit conduit bonds for public and private entities throughout all
50 states. PFA is jointly sponsored by the National Association of Counties, National League of Cities, Wisconsin
• Entity will enter into a ground lease with the Foundation Entities.
• Entity will sublease the UH Facility to the University.
• Rents generated by the Project will fund debt service, pay for operating expenses to operate the Project, including the Student Housing Facility, and to maintain the Property.
• Any revenues above Project expenses is paid to the Fee Owner.
• The term of bond financing is 40 years.

The University’s only involvement in the Project is: (1) entering into the Sublease; (2) entering into the Affiliation Agreement; and (3) sharing in any Project revenue over the life of the Project with Fee Owner.

The University will obtain a sublease from the Entity that will receive a ground lease from Foundation Entities. The University will also enter into an Affiliation Agreement with the Entity. The Entity is contracted by Foundation Entities, not the University. Since the University is collaborating on this project with other project members, the University is aware that the formal choice and selection of the Entity by the Owner has not been completed yet. As such, Administration is not able to identify the Entity as of the writing of this memorandum. Administration anticipates that selection of the Entity will occur imminently. If the Board of Regents approves this request, the Entity must agree to the material terms summarized in Exhibits A and B, attached.

F. APPLICABLE REGENTS POLICY

1. Sublease

Under Board of Regents Policy 10.201, Board of Regents’ approval is required for this real property transaction because it is a lease interest with a term exceeding five years. The six decision-making considerations enumerated under Board of Regents Policy 10.201.III.A are addressed in turn as follows.

a. Promote and support the mission and goals of the university in education, research, service, and economic development.

The Project integrates student housing and an innovation/entrepreneurship center, funded with private, non-taxpayer money to design, build, finance, and maintain a live, learn, work innovation facility. The Building will provide a dynamic, immersive educational and living experience to enable students to push the frontiers of innovation and entrepreneurship as they become the foundation of a more diverse and sustainable new economy.

The Building will integrate academic and collaborative spaces with student housing and be the new home for the PACE program. The
PACE will use the new environment to guide students in transforming laboratory research into applied commercialization opportunities. It will be a place where innovators can bounce ideas around and find the resources needed to move an idea to the next startup phase.

This Project is also one of several public-private partnerships ("P3") and real estate projects the University is pursuing to build modern educational facilities more affordably, develop alternative revenue streams to support the University mission, and remain a competitive higher education institution.

b. *Advance principles and practices of sound environmental stewardship and sustainability.*

The Project is being designed to meet Leadership in Energy and Environmental Design (LEED) Silver Certification and will continue to stress sustainability as a key factor in decision making and seek to minimize impervious surfaces on site to reduce potential run-off impacts to the environment. Further, project design efforts will also endeavor to reduce the carbon footprint of the Project both during construction and under operation.

The Project will renovate an iconic and historic building in the Mānoa neighborhood while incorporating a new adjacent building and modern building onto the Property. The facility will enhance the amenities available to the neighborhood and add to the aesthetic of the surrounding community as the gateway to the Mānoa valley.

c. *Ensure that alternative actions are considered, investigated and analyzed.*

Prior to the acquisition of this Property by UHF Atherton Student Housing LLC the property was owned by the YMCA and was used to provide transient housing, which primarily serviced UH Mānoa students. Since 2016, the University leased the Property from the Owner and continued to use the Property for very limited student housing and to generate some revenue from commercial tenants. However, it was determined that the age of the buildings and the cost of renovations would not create positive revenue. The Property was also considered for a publicly funded student housing project; however, the Fee Owner and the University could not justify bearing that cost using public funding. This P3 alternative creates a positive cash flow over time. It creates a stable long-term revenue stream for the Fee Owner and the University without a significant upfront capital investment in developing the Project and without the financial responsibility of the University operating housing on the Property.
d. *Be fairly priced in the context of applicable fair market values and other relevant factors.*

The University is not contributing any funding for the development, construction, or operation of the Project. The University will rent a portion of the Building (approximately 23,576 square feet), the UH Facility, for the Office of Research and Innovation, and the PACE program at $250,000.00 per year. The per square foot rental rate is comparable to similar properties.

The University is not responsible for any common area maintenance fees. It is only responsible for the cost of electricity, water, and sewer used within the UH Facility. In addition, the University is allowed to lease commercial office space to offset annual rent. Based on its analysis, the University expects to, at minimum, break-even during the term of the Sublease.

e. *Generate revenue from real property not critical to long range plans for the university to support the university’s core mission.*

This criterion does not apply since this is not University property; however, Fee Owner and University are entering into an agreement whereby Fee Owner will share with the University a portion of the proceeds it receives from revenue generated by the Project over the life of the Project.

f. *Be consistent with and support long range plans that have been approved by the Board of Regents.*

The Property and the Project have been added to the long-range development plan (“LRDP”) for the UH Mānoa campus and the UH Mānoa plan review use permit (“PRU”), which was approved by the Council of the City & County of Honolulu on August 11, 2021. The Project supports the Hawai’i Innovation Initiative, which is one of the five policies as set forth in the University’s Strategic Direction, 2015-2021. The Project also supports the guiding principles of the UHM Framework for the Future established to further the University’s desire to continue to be a leading global research institution.

2. **Affiliation Agreement**

Under Board of Regents Policy 8.201, *Contracts and Official Documents*, Board of Regents’ approval is required where it is “determined, in consultation with the board, that a contract...is anticipated to have a significant impact on policies, programs, or operations.”
The Affiliation Agreement entered into here would commit the University to certain obligations for at least 40 years. The purpose of supporting the Project is to allow the development of an additional 220 units and 374 beds of student housing for University students, and an innovative space for the PACE program that integrates their entrepreneurial program with a live, learn, work experience on the UH Mānoa campus. Some of these obligations are relevant because the property is now part of the LRDP and PRU, and some are relevant to ensure UH Mānoa students see some consistency in management and availability of the Student Housing Facility.

University obligations under the Affiliation Agreement do not commit University funds, significant University financial resources, and/or have significant impacts on programs. But, the Affiliation Agreement does commit UH Mānoa, though its usual campus operations, to do the following:

- generally include the Student Housing Facility in overall information and marketing materials regarding student housing available to students attending UH Mānoa and prospective students attending UH Mānoa, commencing at a reasonable time before the anticipated Substantial Completion of the Project;
- provide students residing at the Student Housing Facility with campus related security services and access to the computer network;
- take into account the Student Housing Facility in UH Mānoa planning for future student housing projects that serve students attending UH Mānoa; and
- commit to not construct or otherwise sponsor any additional student housing facilities on the UH Mānoa campus that creates additional student housing beds under certain market conditions.

In exchange, the Entity will agree to:

- directly or indirectly through a management entity be solely responsible for the management and operation of the Student Housing Facility independent from UH and UH Mānoa;
- process residential applications and agreements for the Student Housing Facility;
- provide beds to UH Mānoa students; and
- comply with applicable UH Student Conduct Code policies.

Exhibit B provides additional terms.

G. ACTIONS RECOMMENDED

We recommend the Board of Regents adopt and approve the actions proposed above under Section A, above. Once approved, the President and the Vice President for Budget and Finance/Chief Financial Officer will conclude
negotiations, finalize and execute the Sublease and Affiliation Agreement, and take such other action and execute such other documents as they determine necessary to implement the Sublease and Affiliation Agreement.

c: Executive Administrator and Secretary to the Board Kendra Oishi

Attachments:
1. Exhibit A, Summary of Sublease Agreement Major Terms
2. Exhibit B, Summary of Affiliation Agreement Major Terms
SUMMARY MAJOR TERM SHEET

SUBLEASE AGREEMENT

Between

NONPROFIT ENTITY TO BE DETERMINED
and
UNIVERSITY OF HAWAI‘I

for the
UH Facility Tax Map Key No. (1) 2-8-016-001

1. PARTIES

a) Landlord: Nonprofit Entity to be Identified (“Landlord”)

b) University: University of Hawai‘i (“University”)

2. DEMISE

a) Property. Tax Map Key No. (1) 2-8-016-001, containing approximately 43,107 square feet (“Property”).

b) Building. A new building to be developed, constructed, and operated on the Property by Landlord comprised of the following elements: (i) a 374-bed student housing facility (“Student Housing Facility”); (ii) the PACE Facility; (iii) the Office Facility; and (iv) a gross leasable area of approximately 1,700 square feet located on the first floor to be leased as a retail space (“Retail Facility”). The Student Housing Facility, PACE Facility, Office Facility, and Retail Facility being, the “Building”.

c) UH Facility. Portion of the Building described as a gross leasable area of approximately 8,978 square feet located on the second floor that will house the University’s Pacific Asian Center for Entrepreneurship program (“PACE Facility”), and 14,598 square feet located on the second and third floor to be leased as a commercial office space (“Office Facility”). Together the PACE Facility and the Office Facility are the (“UH Facility”), which will be used and occupied by the University under the Sublease.

d) License. Landlord grants to University a non-exclusive license to use (and to permit its officers, directors, agents, employees, sublessees, and invitees to use), the Common Areas in the course of conducting business at the UH Facility.

e) Premises. The “Premises” is the UH Facility and Common Areas.
3. TERM

Sublease shall be for forty (40) years. The intent is to commence on August 15, 2023 ("Effective Date") and terminate and expire on July 31, 2063 ("Expiration Date").

4. RENT

a) Rent. Rent shall be two hundred fifty thousand dollars ($250,000.00) per year.

b) Five-Year Rent Increases. On the day after the last day of the fifth (5th) year following the Effective Date, and every fifth (5th) year thereafter, Landlord shall increase rent payable for the following five- (5) year period to an amount equal to the product of the rent set for the previous five years multiplied by a fraction, the denominator of which shall be the Consumer Price Index figure published for the month of the Effective Date and the numerator of which shall be the Consumer Price Index figure for the first (1st) month of the following five (5) years.

c) Rent Increase Cap. Rent increases shall not exceed ten (10) percent over the previous payment.

d) University's Services and Utilities Costs. In addition to rent, University shall pay to Landlord, or directly to the billing entity as the case may be, costs and fees related to the use of the following services and utilities within the UH Facility: (i) air conditioning; (ii) electricity; (iii) WiFi, internet, and other communications-related services; and (iv) water and sanitary sewer services ("UH Facility Services"). At Landlord's cost, UH Facility Services shall be individually metered, measured, and under University's control within the UH Facility.

e) No Other Fees. University shall not be responsible or liable for any other costs, fees, or rent not described above.

5. USE OF PREMISES

a) Allowed Uses. University shall use the UH Facility for academic classrooms, administrative offices, and program related activities, including academic competitions, receptions, mixers, community events, co-working spaces, club meetings, and to support innovation and business companies.

b) Right to Sublet. University may sublet available space within the UH Facility, charge rents, and collect costs and fees.

c) University's Right to Sublet Rents. Landlord is not entitled to any portion of rents, fees, or costs charged by University to University's sublessees.
d) **License.** Landlord grants to University a non-exclusive license to use (and to permit its officers, directors, agents, employees, sublessees, and invitees to use), the Common Areas in the course of conducting business at the UH Facility. Landlord will maintain in good order and condition the Common Areas and will perform such repairs and maintenance as may be reasonably required to maintain the Common Areas in good order and condition.

e) **Parking.** Landlord shall make available the following three categories of parking within the Parking Areas: (i) nine (9) reserved parking spaces at cost to University; (ii) visitor parking available at cost on a first-come, first-served basis; and (iii) up to fourteen (14) parking stalls at cost to University annually.

6. **UNIVERSITY LIMITATIONS**

a) **University Not Authorized to Indemnify.** Landlord and University acknowledge and agree that University, as an agency of the State of Hawaiʻi, is not authorized to indemnify, defend, or hold harmless Landlord in any way, including, without limitation, against any claims for bodily injury, wrongful death and/or property damage by any persons.

b) **Other Terms.** Section includes standard University terms limiting University liability.

7. **INSURANCE**

a) **University is Self-Insured.** University, as a sovereignty, is self-insured and therefore insurance, including but not limited to, public liability, property damage, fire, plate glass, and business interruption insurance, is not required.

b) **Landlord Insurance.** Landlord will carry fire and extended coverage insurance on the Premises, the Building, and the Property. The insurance shall cover the structural portions of the Premises, the Building, and the Property.

8. **TAXES AND ASSESSMENTS**

a) **Obligation for Payment.** University will pay all taxes attributable to University.

b) **Real Property Tax Exemption.** University shall have the right to apply for an exemption from real property taxes.

9. **REPAIRS AND MAINTENANCE**

a) **Landlord Duty.** Landlord has a duty to maintain Building and maintenance for all pipes and conduits and all mechanical, electrical, HVAC and plumbing systems contained within the UH Facility.
b) **University Duty.** University shall keep and maintain the UH Facility and all fixtures and equipment located therein in a good, safe, clean, and sanitary condition.

10. **IMPROVEMENTS**

a) **Base Building.** Landlord must deliver the UH Facility in a finished condition for the PACE Facility. The Office Facility will be finished as agreed to by the parties.

b) **Alterations.** University and its subtenants may make alterations within the UH Facility.

11. **OTHER STANDARD TERMS**

a) Landlord has a right of entry with notice and in emergencies.

b) In the event of casualty, University may terminate the Sublease or remain in anticipation of rebuilding as provided by terms.

c) Division of condemnation proceeds, if any.

d) The Premises may be sublet, mortgaged, or assigned by University.

e) Default and remedies are defined; neither Party is liable for incidental, special, punitive or consequential damages (including, lost revenues or lost profits) arising out of or in connection with this Sublease.

f) Force majeure events are addressed, including pandemics.

g) Landlord’s liability is limited to its interest in the Property and the Project.
SUMMARY MAJOR TERM SHEET

STUDENT HOUSING AFFILIATION AGREEMENT
Atherton Student Housing Facility

between

UNIVERSITY OF HAWAIʻI
and
NONPROFIT ENTITY TO BE DETERMINED

1. PARTIES

a. University: University of Hawaiʻi ("University")

b. Entity: Nonprofit Entity to be Identified ("Entity")

2. STUDENT HOUSING FACILITY

Entity agrees to finance, develop, construct, and operate a 220-unit student housing facility, containing 374 beds ("Student Housing Facility") for the use of students attending UH Mānoa.

3. UNIVERSITY AGREES

a. to allow the Project to be part of the long-range development plan for the UH Mānoa campus and the UH Mānoa plan review use permit which was approved by the council of the City & County of Honolulu on August 11, 2021;

b. generally to include the Student Housing Facility in overall information and marketing materials regarding student housing available to students attending UH Mānoa and prospective students attending UH Mānoa, commencing at a reasonable time before the anticipated Substantial Completion of the Project;

c. to provide students residing at the Student Housing Facility the following services: campus related security services and access to the computer network;

d. to take into account the Student Housing Facility in UH Mānoa planning for future student housing projects that serve students attending UH Mānoa; and

e. not to construct or otherwise sponsor any additional student housing facilities on the UH Mānoa campus that creates additional student housing beds, unless demand for additional student housing beds is supported by a student housing demand study; provided that, this subsection shall not apply to renovation or replacement of UH Mānoa Student Housing Facilities that do not result in additional student housing beds on the UH Mānoa campus. For purposes of this Agreement, “UH Mānoa Student Housing Facilities” means the student housing facilities, located on the UH
Mānoa campus, which are known as Hale Aloha Lehua, Hale Aloha ‘Ilima, Hale Aloha Mokihana, Hale Aloha Lokelani, Frear Hall, Gateway House, Johnson Hall, Hale Ānuenue, Hale Kahawai, Hale Laulima, Hale Wainani, Hale Noelani, and the student housing project under development to be located on the parcel identified as Tax Map Key No. (1) 2-8-023:009 by the City & County of Honolulu and commonly referred to as the former NOAA site (approximately 2.21 acres) on Dole Street in close proximity to Burns Hall and Frear Hall.

4. ENTITY AGREES TO

a. directly or indirectly through a management entity be solely responsible for the management and operation of the Student Housing Facility independent from UH and UH Mānoa;

b. process residential applications and agreements for the Student Housing Facility;

c. provide beds to UH Mānoa students; and

d. comply with applicable UH Student Conduct Code policies, as amended, posted at studentaffairs.manoa.hawaii.edu/policies/conduct_code/, and required UH health clearances before entering the UH Mānoa campus.

5. PARTIES MUTUALLY AGREE

a. after Substantial Completion of the Project, the Student Housing Facility shall be treated similar to UH Mānoa’s treatment of all other UH Mānoa Student Housing Facilities concerning advertising to students attending UH Mānoa;

b. neither Party shall prioritize or present the Project nor other UH Mānoa Student Housing Facilities as competing facilities;

c. to cooperate regarding delinquent financial obligations of UH Mānoa student residents related to UH Mānoa Student Housing Facilities and the Student Housing Facility, as permitted by law and UH policy, such as not allowing a UH Mānoa student resident who is delinquent in rent payments to enter into a rental agreement with either UH Mānoa Student Housing Facilities or the Student Housing Facility; and

d. to participate in good faith as needed on committees or working groups related to the management and operation of the Student Housing Facility, including matters related to rental rates and housing policies.
6. TERM

From and after the effective date (to be determined) to and including when Project bonds are no longer outstanding, approximately 40 years, unless otherwise amended or sooner terminated.

7. EARLY TERMINATION

a. Mutual agreement by the Parties in writing; or.

b. Cessation of the Student Housing Facility being offered as and available for student housing for students attending UH Mānoa.

8. RESPONSIBILITY

Neither Party shall be responsible for the acts and omissions of the other Party, or the other Party’s employees and agents in carrying out this Agreement.

9. ADVISORY COMMITTEE

a. Entity will establish an advisory committee which will review and make recommendations to the governing board of Entity regarding the annual operating and capital improvements budgets for the Student Housing Facility, marketing, promotions and advertising plans, review of management reports by the property manager, and other operational issues, including without limitation rental rates and housing policies ("Committee").

b. The Committee is advisory only, with final authority on the approval of budgets and operation of the Student Housing Facility vested in the governing board of Entity; provided however such governing board(s) shall take into account the Committee’s recommendations in making its decisions.

c. The Committee shall have five (5) members, all of whom will be selected and appointed by the governing board of Entity. Two (2) members shall be appointed from a list of candidates provided by UH, one (1) member appointed by the governing board of Entity, and two (2) members appointed from a list of candidates provided by the UH Foundation. All recommendations from the Committee shall be made by majority vote.

10. UNIVERSITY LIABILITY

University shall have no liability with respect to the Bonds or the other indebtedness of Entity, or for any expenses incurred in connection with the development, construction, management, maintenance repair, replacement or operation of the Student Housing Facility by Entity.

11. OPERATIONAL DETAILS

Parties shall mutually agree to operational details consistent with this Agreement.
MEMORANDUM

TO: Randolph G. Moore  
Chairperson, Board of Regents

VIA: David Lassner  
President

VIA: Kalbert K. Young  
Vice President for Budget and Finance/Chief Financial Officer

VIA: Carrie K. S. Okinaga  
Vice President for Legal Affairs and University General Counsel

FROM: Vassilis L. Syrmos  
Vice President for Research and Innovation

SUBJECT: Requesting Approval to Indemnify the U.S. Department of Commerce, National Oceanic and Atmospheric Administration (NOAA), and other Federal Entities, When Using Federal Confidential Information for Research Projects for the Cooperative Institute for Marine and Atmospheric Research (CIMAR)

SPECIFIC ACTION REQUESTED:

It is respectfully requested that the Board of Regents ("Board") authorize the University of Hawai'i ("University") to indemnify certain federal parties so that University researchers may gain access to federal confidential information collected or held by the federal parties. The confidential information will be used to perform specific research projects within the purview of a master cooperative agreement between the University and the U.S. Department of Commerce, National Oceanic and Atmospheric Administration, and its National Marine Fisheries Service ("DOC", "NOAA", and "NMFS", or collectively the "Federal Parties").

This request is made pursuant to Hawai'i Revised Statutes § 304A-110, (Sponsored Research), appended as "Attachment 1" to this memorandum.

RECOMMENDED EFFECTIVE DATE:

It is recommended that authorization be effective upon Board approval to allow the University to immediately commence ten specific research projects, listed within the background of this memorandum.
In anticipation that more research projects requiring access to confidential information will be proposed during the course of the Cooperative Institute for Marine and Atmospheric Research's (CIMAR's) initial 5-year base period, 10/01/2021 – 09/30/2026, it is also requested that Board approval extend to similar indemnifications for the use of federal confidential information during the base period so long as, in the judgment of the President, these prospective indemnity obligations present similar risk exposure profiles.

**ADDITIONAL COST:**

The additional costs to safeguard the confidential information obtained during the course of CIMAR projects, and any liability for unauthorized disclosure, including indemnification, are expected to be covered by project funds.

**PURPOSE:**

Approval of the indemnity will allow the University to perform several projects that arise within the purview of CIMAR. For the purposes of this Board request, these specific research projects have in common that the University will be provided access to confidential information collected or maintained by the Federal Parties. Confidential information is needed to perform the scientific analyses and possible data collection. Under the proposed indemnification, the University will hold the Federal Parties harmless for any civil suit that may arise from misuse or unauthorized disclosure of the confidential data.

**BACKGROUND:**

The CIMAR Project

The NOAA/UH Cooperative Institute for the Pacific Islands Region, historically and officially known as the Joint Institute for Marine and Atmospheric Research ("JIMAR"), has successfully served the mutual basic and applied research, education and outreach goals of NOAA and the University since 1977. Through the next decade, the University will continue to host and support the institute under a new name: Cooperative Institute for Marine and Atmospheric Research ("CIMAR").

A "Cooperative Institute" ("CI") is defined by NOAA Administrative Order 216-107A, Policy on Cooperative Institutes, (issuec June 4, 2021) as follows:

**Cooperative Institute** – A NOAA-supported, non-Federal, academic, and/or non-profit institution that has an established, outstanding research program in one or more areas relevant to NOAA's mission. A CI is established at a research institution that has a strong education program with established degree programs in NOAA-related sciences. A CI engages in research directly related to NOAA's long-term mission needs that require substantial involvement of one or more research units within the research institution(s), as well as one or more NOAA programs. A CI may include multiple research institutions. A CI provides significant coordination of resources among all non-government partners and promotes the involvement of
students and postdoctoral scientists in NOAA-funded research. A CI provides mutual benefits, with value provided by all parties. A CI is synonymous with a Joint Institute.

A key feature of a CIMAR is that the funds are initially awarded based on competition and the expectation of a long-term partnership between NOAA and the institution thus enabling new awards on a non-competitive basis. Although the initial award to the University is limited to $200,000, the CIMAR award period is for 5 years with a funding ceiling of $210,000,000 (Federal Award ID Number NA21NMF4320043). Prospective funding is contingent upon availability of funds from Congress, satisfactory performance, and continued relevance to NOAA and DOC program objectives. Continued funding is within the sole discretion of the DOC.

Research Projects under the auspices of UH CIMAR

During the course of the CIMAR agreement, specific research projects are proposed and agreed to between NOAA and UH investigators. The research projects are documented as "amendments" to the master cooperative agreement. Pending amendments include the following:

Amendment 6: Fishing Impacts on Non-Target Species
Amendment 7: Territory Electronic Reporting Project
Amendment 8: Cetacean Research in the Pacific Islands Region
Amendment 11: Science Operations in the Pacific Islands Region
Amendment 12: Life History and Population Assessment Research
Amendment 14: Marine Turtle Recovery in the Pacific Islands Region
Amendment 18: Economics and Human Dimensions of Marine Ecosystems
Amendment 20: Ecosystem Structure and Function
Amendment 22: Electronic Monitoring and Bycatch Estimation in Fisheries
Amendment 24: Fisheries Monitoring Project

Handling Confidential Information

University researchers will require use of confidential information collected and maintained by NOAA to perform the research. For purposes of these Amendments confidential information encompasses: any information submitted and/or provided to the Secretary of Commerce and/or NMFS in compliance with the Magnuson-Stevens Act, the WCPFC Implementation Act, the South Pacific Tuna Act of 1988, as well as any observer information as defined under the Magnuson-Stevens Act and/or the WCPFC Implementation Act, business/trade secret information, and/or personal information.

Commercial fishing fleets and private fishing operators are required to provide information to NOAA regarding their catch. NOAA may also station observers onboard these private vessels to document operations. For example, data collected by National Marine Fisheries Service ("NMFS") may include monthly cold storage holdings of fishery products. As stated in NAO 216-100: Protection of Confidential Fisheries Statistics: "advance knowledge of the content of these reports could give those who trade in products an opportunity to gain competitive advantage. Therefore, in addition to the confidential protection provided to individual reports, monthly summary reports will not be disclosed to
the public until 3:00 p.m. Eastern Time of the official release date. Similar protections are established for data regarding the purchase of surplus fishery products by USDA. For the fishing vessel captains and owners, operational practices and fishing location information are essentially "trade secrets" for the vessels involved.

Private entities provide this proprietary information only if NOAA can safeguard the confidentiality of the information. In turn, NOAA will provide this information to a cooperative institute, such as the University CIMAR, for analyses and research only if the cooperative institute, in turn, safeguards the information.

**Indemnification for Unauthorized Use or Disclosure of Confidential Information**

As a specific condition to a research amendment, the University is obligated to indemnify the federal parties as follows:

Recipient shall hold NMFS, NOAA, DOC, and the United States harmless for any civil suit that may arise from misuse and/or unauthorized disclosure of confidential data.

Because this language is used in a NOAA national template and is required by NOAA policy and procedures, NOAA is not willing to modify the language to accommodate the University.

Attached to the memorandum to illustrate this procedure are excerpts of Amendment 12, entitled "Life History and Population Assessment Research". The total estimated budget for Amendment 12 is $2,627,846.

**Measures to Mitigate Risks of Unauthorized Release of Confidential Information**

There are three overlapping layers of protection to minimize the risk of unauthorized disclosure and to mitigate the consequences of unauthorized disclosure: (1) protective measures required by NOAA that are incorporated into the Amendment; (2) protective measures implemented by the University as a general institutional policy, and SOEST measures implemented for these specific CIMAR projects, including data display standards; (3) protective and deterrent measures taken by UH employees who are allowed access to confidential information.

1. **Protective measures required by NOAA as incorporated into the Amendments.**

   NOAA requires that the University must review and become familiar with the NOAA Administrative Order 216-100 on the protection of confidential fisheries statistics. (See, e.g., Amendment 12, Specific Award Conditions).

   The University and its employees must further comply with specific actions to safeguard the confidentiality of data, including the following actions:
• Entering into a Non-Disclosure Agreement setting for the conditions to access, store and use confidential information prior to accessing the confidential information;

• Prohibiting further disclosure, except to the project sponsor;

• Handling and storing all information in a manner to preserve confidentiality;

• Physically maintaining print-outs under lock and key; and using secured electronic methods if transmitting confidential information to authorized persons;

• Notifying NMFS when confidential information is no longer needed;

• Returning or destroying all confidential information when no longer needed;

• Timely notifying NMFS of filing of or notice of the probability of a civil suit against the University involving confidential information.

2. Protective Measures Implemented by the University as general policy and for this particular CIMAR project

a. The University has established general institutional policies and best practice to protect confidential information, including "protected data" that have been created, collected, or analyzed for the purpose of research. For example, Executive Policy 2.215 "Institutional Data Governance" provides the overall structure for the University's data governance programs. Executive Policy EP 2.214 is a supporting policy on data governance and information security.

b. The research activities for these Amendments focus primarily on NOAA's Pacific Islands Fisheries Science Center ("PIFSC"). The CIMAR projects and employees are physically co-located at the PIFSC at the NOAA Inouye Regional Center on Ford Island. The confidential data is housed and managed at PIFSC by PIFSC, but some CIMAR staff are provided access to the data for research purposes. The confidential data secured by PIFSC is available exclusively at PIFSC, and is not provided to CIMAR for access on-campus. NOAA—not the University—controls the servers hosting the data, and controls access to the data.

However, in the event that confidential data could be accessible from locations controlled by UH or by the School of Ocean and Earth Science and Technology, ("SOEST") of which CIMAR is one of several research units, the SOEST Research Computing Facility (RCF) would be able to provide consultation and assistance to CIMAR to implement additional or customized safeguards and measures beyond those typically required by UH institutional policies to ensure the security of the confidential data.

c. NOAA has issued data display standards for public dissemination of data, including the publication in scientific papers and fishery management reports. See Pacific Islands
Fisheries Science Center Policy on Confidentiality of Fisheries Operations Data. These data display standards include the following:

- Individual vessel identifiers cannot be attached to any individual data items which are made public. (Vessel identifiers include vessel name or permit number; individual data items include fishing location, catch, and effort.)

- Any fishery-wide aggregations of fisheries operations data shall include information from three or more individual vessels.

- In many cases, confidentiality can be assured by increasing the time or area range of strata (e.g., multiple months, multiple years, or multiple locations).

- Fishing location information is most sensitive because it is essentially a "trade secret" for the vessels involved. Latitude and longitude information should be reported or plotted primarily on monthly 5 degree squares, which is the de facto international standard for longline fisheries data exchange.

- Where finer displays of data are required (e.g., in examining the 50-25 mile longline area closures), smaller area aggregations may be used. In these cases, alternative ways of displaying data may be required (e.g., contours or bands of fishing activity rather than lat/long squares or individual data points). Care should be taken on the temporal scale: monthly plots of 1 degree square information are much more sensitive than annual plots.

3. Individual Responsibility to safeguard the confidentiality of information

A third layer to assure confidentiality of information is an individual's personal acknowledgment and assumption of responsibility. Individual employees will have to sign a Non Disclosure Agreement ("NDA") prior to being granted access to the data. By signing the NDA the individual certifies that the individual

- has read, understood and agrees to abide by NOAA Administrative Order 216-100 on the Protection of Confidential Fisheries Statistics and agrees to abide by the Pacific Islands Fisheries Science Center policies on security of data, personal computer, network computers and telecommunications.

- agrees not to disclose any confidential statistics except to authorized users.

- acknowledges that unauthorized disclosure may subject the disclosing individual to federal criminal and civil penalties.

The possibility of federal criminal prosecution for breaches of confidentiality is express in the personal NOAA Statement of Non-Disclosure of Confidential Data that must be signed before an individual is given access to the data which states:
• I will not disclose any statistics identified as confidential to any person(s), except authorized users or as permitted by the Assistant Administrator for Fisheries, or the Assistant Administrator’s designee, in accordance with the law, as authorized by the [Department of Commerce] Office of General Counsel. I am fully aware of the civil and criminal penalties for unauthorized disclosure, misuse, or other violation of the confidentiality of such statistics.

• I understand that I may be subject to criminal and civil penalties under provisions of Titles 5 U.S.C. § 552 and 18 U.S.C. § 1905, which are the primary Federal statutes prohibiting unauthorized disclosure of confidential data. I may also be subject to civil penalties for improper disclosure of data collected under the Trade Secrets Act, the Privacy Act, the Magnuson-Stevens Act, the Marine Mammal Protection Act, or the Endangered Species Act.

Summary of Risk Mitigating Measures to Assure Confidentiality of Information.

To the best of our knowledge, during the JIMAR era, the University has not breached the confidentiality of fisheries data or information supplied by NOAA. Continuing SOEST’s long-standing vigilance, adhering to NOAA contractual requirements and University institutional policies and practices, and acknowledging and assuming personal responsibility to safeguard confidential information will mitigate and manage the liability risks created by the indemnity obligations.

On balance, the benefits of conducting research for NOAA under the CIMAR cooperative agreement outweigh the risks of liability for unauthorized disclosure of confidential information.

ACTION RECOMMENDED:

It is recommended that the Board of Regents authorize the University to accept the indemnification provisions concerning use of confidential information in 10 pending Amendments to the cooperative research agreement establishing CIMAR.

In addition, it is requested that the Board approve the University undertaking substantially similar indemnification obligations regarding use of confidential information for other CIMAR research projects arising during the initial 5-year base period, from federal fiscal years 10/01/2021 through 9/30/2026. (See Attachment 2 for template indemnification).

Attachments

Attachment 1 (HRS § 304A-110)

Attachment 2 (Excerpt of Amendment No. 12 to Financial Assistance Award NA21NMF4320043 "Life History and Population Assessment Research")

c: Executive Administrator and Secretary to the Board of Regents
[§304A-110] Indemnification.

(a) Notwithstanding any other law to the contrary, the board of regents may agree in writing to an indemnity provision by which the university agrees to indemnify, defend, and hold harmless any person, corporation, or entity that sponsors research at the university when all of the following conditions are satisfied:

(1) The person, corporation, or entity requires an indemnity in writing as a condition for providing a grant, benefit, service, or interest in or right to use property;

(2) The president, or the president’s designee, following a favorable review by the university general counsel or the counsel’s designee, approves the proposed indemnification; and

(3) The chief financial officer, pursuant to section 304A-108, has obtained an insurance policy or policies in an amount sufficient to cover the liability of the university that may be reasonably anticipated to arise under the indemnity provision or has determined that it is not in the best interest of the university to obtain insurance.

(b) Nothing in this section shall be construed to expand the scope of liability of the university beyond that set forth in chapters 661 and 662.

(c) Nothing in this section shall be construed to waive the immunity of the university from suit in federal courts guaranteed by the Eleventh Amendment to the United States Constitution. An indemnity provision not in strict compliance with this section shall not give rise to a claim against the university under this chapter or chapter 661 or otherwise waive the university’s sovereign immunity.
Excerpts from Amendment 12 to Financial Assistance Award NA21NMF4320043 “Life History and Population Assessment Research”

[Indemnification bold faced for emphasis]

Award Number: NA21NMF4320043
Amendment Number: 12

5) Access to Confidential Information May Be Required

1. Recipient (University of Hawaii Systems), and/or its employees, contractors, and sub-awardees may require access to confidential information to perform the scientific analyses and/or data collection identified in the project narrative for the Life History and Population Assessment Research project under award NA21NMF4320043. Confidential information for purposes of this grant award means any information submitted and/or provided to the Secretary of Commerce and/or NMFS in compliance with the Magnuson-Stevens Act, the WCPFC Implementation Act, the South Pacific Tuna Act of 1988, as well as any observer information as defined under the Magnuson-Stevens Act and/or the WCPFC Implementation Act, business/trade secret information, and/or personal information. [600.415(b)(5)]

2. The recipient, its employees, contractors, and sub-awardees, for purposes of access to, storage, and unauthorized disclosure of the confidential information provided herein, shall be considered agents of the Federal Government and thus subject to 18 U.S.C. § 1905 and §§ 201-209 (commonly referred to as the Trade Secrets Act and Conflict of Interests Laws, respectively). [NAO appendix D]

3. Recipient and its employees, contractors, and sub-awardees shall review NOAA Administrative Order 216-100 on Protection of Confidential Fisheries Statistics/Data relating to any confidential data provided under this grant NA21NMF4320043. [NOAA NDA statement]

4. Recipient and/or its employees, contractors, and sub-awardees (hereinafter, the "authorized user") that may require access to confidential information to perform work under this grant shall separately sign and deliver to NMFS a NOAA approved non-disclosure statement that sets forth the understanding between NMFS and the authorized user concerning access to, subsequent storage, and usage of confidential data (including penalties for unauthorized use and disclosure), before any confidential information is accessed.

5. Recipient and/or its employees, contractors and sub-awardees who are authorized to access confidential information shall not disclose any confidential information to any person, except to the NMFS Sponsor, [identity redacted], or his approved designee as appointed in writing by NMFS.

6. Recipient and/or its employees, contractors, and sub-awardees shall store, handle, and maintain all confidential information in a manner that ensures the confidential
information is not disclosed to unauthorized persons or used in any manner inconsistent with the terms of the Specific Award Conditions herein and the non-disclosure agreement. [NAO 6.01.a.2.]

7. Recipient, its employees, contractors, and sub-awardees shall maintain all print-outs of confidential information under lock and key; and shall only transmit confidential information to authorized persons through a secured electronic method. [NAO 6.01.a.1; 6.02.b4 and 6.03.e.3 and 4]

8. Recipient agrees to immediately notify in writing NMFS’s Pacific Islands Fisheries Science Fisheries Research and Monitoring Division ("FRMD") and/or its designee, 1845 Wasp Blvd., Building 176, Honolulu, HI 96816, on the termination of the need to access confidential information by the Recipient, its employee, contractor, and subawardee. [NAO append. D, A.6]

9. Recipient shall notify NMFS in writing immediately upon completion/termination of the Life History and Population Assessment Research grant project. All confidential information provided to Recipient, its employees, contractors, and sub-awardees under a signed non-disclosure statement shall be (i) returned to NMFS within five (5) days from the date of notification, or (ii) Recipient, its employees, contractors, and sub-awardees shall destroy all confidential information that was provided under the signed non-disclosure agreement within five (5) days from the date of notification. Upon return or destruction of the confidential information, Recipient shall certify in writing to NMFS that said confidential information has been returned to NMFS and/or destroyed. [NAO 6.01.b.2]

10. Recipient, its employees, contractors, and sub-awardees shall not retain copies of any confidential information provided under a non-disclosure statement, including any copies of confidential information collected or generated under the grant NA21NMF4320043, absent an agreement to retain the confidential information. [NAO 6.01.b.2 & NOA append D, 2.f]

11. Recipient shall hold NMFS, NOAA, DOC, and the United States harmless for any civil suit that may arise from misuse and/or unauthorized disclosure of confidential data. [NAO append. D, A.4]

12. Recipient agrees to timely notify in writing the NMFS’s Director, Pacific Islands Fisheries Science Center, 1845 Wasp Blvd. Bldg. 176, Honolulu, Hawaii 96818, of the filing of or notice of the probability of a civil suit being filed against the Recipient involving the confidential information. [NAO append D, A.5]
A Timely Discussion

Universities and colleges throughout the country are evaluating their tenure systems:

• Does tenure do what its’ supposed to do - ensure academic freedom?
• Does tenure serve colleges’ goal of increasing faculty diversity?
• Is tenure workable when budget-crunchcd colleges need market-responsive flexibility to manage academic programs?
• Are there ways to reform tenure that might better achieve these goals?

“RETHINKING TENURE, THE CHRONICLE OF HIGHER EDUCATION”

Have Board policies changed as tenure has changed over the years?

In 1979 at the University of Southern California, “80 percent of the faculty…was tenure-track, and 20 percent was nontenure-track. Today, the situation has flipped.” William G. Tierney, professor emeritus, USC
“The board of regents shall classify all members of the faculty of the university including research workers, extension agents, and all personnel engaged in instructional work as referenced in Section 76-16 and adopt a classification schedule and compensation plan for these employees.” Hawaii Rev. Stat. 304A-1002 (2016)

“…the Board has exclusive jurisdiction over matters such as setting the criteria for determining tenure, promotion, and other areas of faculty employment, as well as establishing the procedure by which such matter was to be reviewed and grievances resolved.” University of Hawaii Prof. Ass. Vs. Univ. of Hawaii, 66 Haw. 214, 220-21 (Haw.1983)
Task Group – Background

- February 18, 2021 - Board of Regents approved creation of Tenure Task group (Tenure PIG)
  - Task Group meetings -
    - March 10, 2021
    - April 7, 2021
    - April 23, 2021
    - April 28, 2021
    - May 12, 2021
    - May 25, 2021
    - June 2, 2021
    - June 24, 2021
    - July 22, 2021
    - August 12, 2021
    - September 3, 2021
Task Group ~ Members

- **Regents (titles at time of Task Group initiation):**
  - Ben Kudo, Board Chair
  - Robert Westerman, Personnel Affairs and Board Governance Committee Chair
  - Ernest Wilson, Academic and Student Affairs Committee Chair
  - Jan Sullivan, Budget and Finance Committee Chair

- Bonnie Irwin, Chancellor, UH Hilo
- Velma Kameoka, Vice Chancellor for Research, UH Manoa
- Erika Lacro, Vice President for Community Colleges
- Brennon Morioka, Dean, College of Engineering UH Manoa
- Christian Fern, Executive Director, UH Professional Assembly

President Lassner*

Administrative Liaison- Deborah Halbert, Kendra Oishi
Task Group ~ Overview

• Background - History and original purpose of Tenure
• Modern concepts and practices
• Tenure trends and changes occurring nationally

- to protect and encourage free speech
- to be competitive in recruiting & hiring
Task Group ~ Discussion Areas

- University's current tenure classification system
- Practices on periodic review
- Alignment of tenure with the mission and priorities of the University
Task Group – Recommendation

In the form of a Resolution

Four-part Resolution:

• Regents Policy 9.201 – revisions to establish policy considerations for granting tenure
• Regents Policy 9.202 – revised classification structure to simplify and modernize
• Regents Policy 9.213 – clarified periodic review process and responsibilities
• Ask President/Administration to begin consultation process with faculty and unions, return to Board with recommendations for action
Regents Policy 9.201
Faculty Promotion and Tenure

• Section 9.201.B., add Section 2:

Before recruitment for tenure-track positions occurs, and before award of tenure, the administration shall ensure that:

1. the position fulfills current enrollment requirements and strategic growth priorities for the university and the State;
2. there are no qualified faculty in other units that are available and that could meet the needs of the hiring unit;
3. the balance of tenure-track and other faculty is appropriate given enrollment, mission, and accreditation standards; and
4. the unit is successful and relevant in contributing to the institutional mission and goals.
Regents Policy 9.201
Faculty Promotion and Tenure ~ continued

• Section 9.201.B. - add Section 3:
The administration shall ensure that tenure criteria are clear and that they prioritize the necessity for faculty to be adaptable in meeting the changing needs of students and the university, including changes in the delivery of higher education that may occur over time.

• Delete/revise para. 4 & 5 - more appropriately addressed in executive policy
Regents Policy 9.202
Classification Plans & Compensation

• **UH Manoa** Current:
  • “I” – Instructional
  • “J” – Law
  • “M” – Clinical Medicine
  • “R” – Researcher
  • “S” – Specialist
  • “B” – Librarian
  • “A” – Extension agent
  • “graduate teaching assistant”
  • “lecturer”
  • Clinical titles for non-compensated faculty in Health Science and Social Welfare
Regents Policy 9.202
Classification Plans & Compensation - continued

• **UH Hilo & UH West Oahu** Current:
  - “I” – Instruction
  - “Lecturers”
  - “Affiliate faculty”

• **Community Colleges & Maui College** Current:
  - “Instruction”
• Proposed Changes: One faculty classification system for ALL campuses:

• Tenure and Tenure Track Classifications:
  • “F” - Tenured and Tenured Track Faculty
    • Direct instruction in classroom OR applied venues and/OR oversight of internships, clinical work, theses, dissertations
    • Engage in research and scholarship
    • Engage in service inside the university and the community
    • Includes categories previously classified as “R”, “I”, “M” and “J”

• “L” – Librarians - provide students and faculty with modern access to information, assist in scholarly pursuits.
  • Previously classified as “B”
Regents Policy 9.202
Classification Plans & Compensation - continued

• **Proposed Changes**: One faculty classification system for ALL campuses:

• **Non-tenured Classifications**
  • “FSE” – Support Faculty and Extension Agents that are not primarily engaged in direct instruction. Not eligible for tenure but may be eligible for employment security characteristic of other public employees.
    • Previously classified as “S” and “A”
  • “FR” – Renewable Term Faculty - non-permanent, non-tenure track appointments.
  • “FNC” – Non-Compensated Faculty - non-tenure track faculty that may teach or perform research
Regents Policy 9.202
Classification Plans & Compensation - continued

• President delegated authority to establish detailed classification plan
• Changes to classification categories shall apply prospectively, moving forward
• Deleted Section J on “Special Compensation” at request of Administration (No longer used)
Regents Policy 9.213
Evaluation of Board of Regents’ Appointees

• **Section B** - maintained language that tenured faculty shall participate in a periodic review at least once every five years.

• **Add Section C:**
  • “It is the responsibility of Deans, Chancellors, Provost, Vice Chancellors/Vice Provosts, and/or other appropriate academic administrators to additionally ensure that all periodic reviews are conducted in a manner that will minimize conflicts of interest within units, and ensure balanced, diverse, and relevant input including that of faculty peers.”
  • “Guidelines and procedures for periodic review, including the use of performance improvement plans as necessary, shall be developed by each major academic unit...and submitted for approval by the president. An annual report on the outcomes of such reviews shall be provided to the board.”
Summary

Recommendation - What it Is & What it’s Not

The Recommended Resolution Is -

- A statement of **Intent** by the Board that would begin a long process
- **Not** a final action to approve policy revisions
- The recommendation action would proactively initiate a process:
  - Administration asked to begin formal consultation with faculty & unions on potential policy changes
  - Post-consultation, Admin would return to the Board with recommendations
  - Assigned to Committees, then full Board, to approve (or not) any proposed revisions
  - If approved, Admin initiate Executive Policy revisions to detail implementation & conform to revised Board policies
Recommendation

• Request that Board dissolve the Task Group and refer this recommendation to committees for review, discussion and to direct administration to begin formal discussions on tenure policies;

• Task Group recommends joint referral to both Personnel Affairs Committee and Academic & Student Affairs committees:
  • Issue bridge both committee areas
  • Capture broad board membership on important issue
  • Share information and discussion with broader membership of board

• As part of committee referral, specifically request:
  • All information and materials that were made available to the task group on its drop box, be made available to the joint committee members and the public
Mandated Convening a 7-member Task Force specifically comprised of:
- Chair of the Board of Regents
- President
- Vice President for Research and Innovation
- Executive Director, UH Professional Assembly
- Associate Executive Director, Governance of the UH Professional Assembly
- Chair, Board Committee on Personnel Affairs and Board Governance
- Director of Collective Bargaining and Employee Relations, UH Office of Human Resources

Deliver a report to the legislature no later than 20 days prior to the convening of the Regular Session of 2022:
- specific data on non-instructional faculty positions
- assess UH against peer institutions
- Propose Amendments to UH’s existing tenure system and compensation structure for “Researchers and other Non-Instructional faculty”
REPORT OF THE PERMITTED INTERACTION GROUP ON TENURE  
September 10, 2021

The purpose of this final report is to share the resultant findings and recommendations of the Permitted Interaction Group on Tenure (“Task Group”) with the full Board of Regents (“Board”). Deliberation and decision making regarding the final report and dissolution of the Task Group will take place during a subsequent meeting, pursuant to permitted interactions under the Sunshine Law, Section 92-2.5(b), Hawai‘i Revised Statutes.

I. Background

A. The Task Group was established by the Board as a permitted interaction group at its February 18, 2021, meeting to review and investigate the issue of tenure with a focus on reviewing the following areas: (1) the history and purpose of tenure; (2) the evolution of and current views and developments on tenure; and (3) the current criteria and decision making process for tenure.

B. The Task Group included the following Regents:

1. Ben Kudo, Board Chair
2. Jan Sullivan, Budget and Finance Committee Chair and Task Group Chair
3. Robert Westerman, Personnel Affairs and Board Governance Committee Chair
4. Ernest Wilson, Academic and Student Affairs Committee Chair

[Note: The titles listed reflect the positions held during the time the Task Group was established. Regent Sullivan’s term on the Board ended on June 30, 2021, but she remained on the Task Group and continued to serve as its Chair until the activities of the Task Group concluded.]

The Task Group also included the following members:

- Christian Fern, Executive Director of the University of Hawai‘i Professional Assembly (UHPA), faculty union representative
- Bonnie Irwin, UH Hilo Chancellor, who represented a 4-year campus
- Velma Kameoka, UH Mānoa, Interim Vice Chancellor for Research, research representative
- Erika Lacro, Vice President for Community Colleges, community college representative
- Brennon Morioka, Dean of the UH Mānoa College of Engineering, college dean representative
President David Lassner participated in several of the Task Group meetings and Debora Halbert, Associate Vice President for Academic Programs and Policy, served as Administration Liaison.

Kendra Oishi, Executive Administrator and Secretary of the Board of Regents, provided support to the Task Group.

C. Meetings were held on March 10, 2021; April 7, 2021; April 23, 2021; April 28, 2021; May 12, 2021; May 25, 2021 (non-Regent members); June 2, 2021; June 24, 2021; July 22, 2021; August 12, 2021; and September 3, 2021.

D. After initial meetings, the Task Group agreed to focus its efforts on three areas:
   1. The University’s current tenure classification system;
   2. Practices on periodic review; and
   3. The alignment of tenure with the mission and priorities of the University.

E. During the course of its discussions, the Task Group was also made aware of Senate Resolution No. 166, S.D. 1 (2021), which requested the establishment of a task group to examine and assess UH’s tenure system and the compensation structure of faculty engaged in activities supported by extramural funding and grants. While the Task Group was created independently of the Senate’s request, the Task Group addressed issues relevant to S.R. No. 166.

F. As a natural outgrowth of the Task Group’s discussions, the Task Group posed the following questions:
   How might we…
   1. Improve, modernize, and simplify the tenure classification system?
   2. Improve the periodic review process?
   3. Ensure that tenure is awarded to positions that will fulfill enrollment requirements and strategic growth priorities?

G. The Task Group took it upon itself as part of its work to propose for the Board’s consideration amendments to existing policies to respond to these questions.

II. Recommendations

The Task Group recommends:

A. Adoption of the attached Board Resolution: Supporting the Findings and Recommendations of the Tenure Task Group and Requesting the
University of Hawai‘i Administration to Facilitate the Implementation of Board Policy Revisions Through Faculty and Union Consultation, along with recommended revisions to:

1. RP 9.201 to establish policy direction in conducting promotion and tenure to ensure that University priorities and mission are met.

2. RP 9.202 to simplify and reduce the number of faculty classifications.

3. RP 9.213 to clarify responsibilities and provide policy guidelines regarding the periodic review process.

B. The dissolution of the Task Group.

III. Conclusion

The Task Group has concluded its task as identified when the Board approved its creation during its February 18, 2021, meeting. Its specific recommendations and call to action are included in the attached Resolution. Members of the Task Group are supportive of the recommendations as presented, with the exception of Christian Fern, Executive Director of UHPA, who has submitted a letter of dissenting opinion in Attachment E.

ATTACHMENTS

Attachment A – Proposed revisions to RP 9.201
Attachment B – Proposed revisions to RP 9.202
Attachment C – Proposed revisions to RP 9.213
Attachment D - Draft Board Resolution 21-06, Supporting the Findings and Recommendations of the Tenure Task Group and Requesting the University of Hawai‘i Administration to Facilitate the Implementation of Board Policy Revisions Through Faculty and Union Consultation
Attachment E – Letter of Dissenting Opinion
I. Purpose

To set forth policy regarding appointments, faculty promotion and tenure, and other personnel status policy.

II. Definitions:

No policy specific or unique definitions apply.

III. Policy:

A. Appointments

1. General

   a. All university employees ultimately serve under the jurisdiction of the board and shall be appointed by the board upon recommendation of the president, unless specifically delegated. Such employees shall be assigned the rank, title, and salary appropriate to the duties and responsibilities of such position as defined in the classification system adopted by the board. No employee shall be afforded a contract aside from the normal employment documents executed for all university employees.

   b. Use of titles. Titles of positions are determined by the board and no title may be used unless specifically authorized. Members of the faculty in divisions other than instructional, when engaged in teaching, shall bear the instructional title appropriate to their grade.
2. Executive and Managerial (E/M) Appointments. Appointments to executive and managerial positions shall be made in accordance with the following guidelines:

a. The president has the responsibility where board approval is necessary, to recommend personnel appointments to the board for action.

b. The president, in developing and making recommendations for board action, shall ensure that the guidelines outlined below are followed:

(1) Applicability. These guidelines shall be followed in making all recommendations for appointment to executive and managerial positions.

(2) Recruitment of Candidates. Equal Employment Opportunity Commission (EEOC) – Open Hiring requirements shall be followed in all cases. These requirements should not preclude active recruitment of highly qualified candidates including women and minorities for consideration.

(3) In considering applications and nominations, the advice of knowledgeable and interested persons and groups may be sought as appropriate, either on specific candidates identified as qualified by the president or other responsible administrator, or on all candidates. During any phase of the selection process, all candidates shall receive the same treatment.

(4) In addition, where appropriate, an advisory committee may be established to advise the president, or other responsible administrator. Where an advisory committee is established, directions shall be provided to the committee by the president or other responsible administrator as to:

(a) The scope of the committee’s tasks.

(b) The criteria to be followed if candidates are to be evaluated.

(c) Appropriate time limits.

(d) The form of any recommendations to be made. (Example: each candidate shall be classified as “qualified” or “not qualified” without any indication of ranking.)
(5) Where chancellors, provost, or other senior administrative appointments are involved, the president shall periodically inform the board of the status of the selection process. On other appointments, the official conducting the search shall periodically report on its progress to the president.

(6) All recommendations for appointments under these guidelines shall be made to the board by the president.

3. Appointments to Department Chairs, Special Program Directors and Chairs of Academic Subdivisions, Graduate Assistants, Lecturers, and Cooperating Teachers/Counselors and Observation/Participation Teachers

a. The president shall have the authority to make appointments.

b. Compensation shall be in accordance with provisions reflected in the most current collective bargaining agreement negotiated between the university and the exclusive collective bargaining representative. In the event that the faculty member is not subject to collective bargaining, the president shall have the authority to establish compensation guides.

c. Where there are applicable collective bargaining provisions, or in the event that there are conflicts between policies and the collective bargaining agreement, the provisions of the collective bargaining agreement shall prevail.

d. The president shall promulgate policies in consultation with university executives setting forth the duties, responsibilities, qualifications, guidelines and timelines for selection, conditions for appointment, compensation, and other administrative requirements.

B. Faculty Promotion and Tenure

1. The president shall grant promotion and/or tenure to members of the faculty.

2. Before recruitment for tenure-track positions occurs, and before award of tenure, the administration shall ensure that: (1) the position fulfills current enrollment requirements and strategic growth priorities for the university and the State; (2) there are no qualified faculty in other units that are available and that could meet the needs of the hiring unit; (3) the balance of tenure-track and other faculty is appropriate given enrollment, mission, and accreditation standards; and (4) the unit is successful and relevant in contributing to the institutional mission and goals.
3. The administration shall ensure that tenure criteria are clear and that they prioritize the necessity for faculty to be adaptable in meeting the changing needs of students and the university, including changes in the delivery of higher education that may occur over time.

2.4. The president may grant tenure upon initial appointment upon recommendation of the president. The board delegates to the president the granting of tenure upon initial appointment to members of the faculty who have previously held tenure at a comparable institution. For delegated appointments, the board also delegates to the president the granting of tenure upon appointment to executive/managerial personnel who have previously held tenure at a comparable institution. Guidelines are established in executive policy.

3.5. The board delegates to the president the authority to act on behalf of the university on faculty promotion and tenure applications where the recommendation is negative.

4.6. The president may waive the probationary period for new faculty members in accordance with established guidelines and applicable collective bargaining provisions.

5. At the time tenure is granted, a faculty fall back salary, faculty classification, and duty period shall be established for all executive/managerial personnel.

C. Civil Service Personnel

1. The president is designated to act for the board in making appointments to such positions or changes in the status of employees and to exercise its power as appointing authority in connection with such positions and employees.

D. Resignations and Terminations

1. The president shall have authority to accept and approve voluntary terminations from university service for reasons of resignation or retirement.

E. Faculty Exchanges

1. The board supports exchanges of university faculty with other institutions as a means of furthering the academic and intellectual growth and vitality of our faculty and university. The president shall promulgate policies that include guidelines to implement faculty exchanges.
IV. Delegation of Authority:

The president has the responsibility where board approval is necessary, to recommend personnel appointments to the board for action, authority to act on behalf of the university regarding faculty promotion, act for the board in making appointments or status changes regarding civil service, personnel, and authority to accept and approve voluntary terminations. See RP 9.201(A)(2)(a); (A)(3)(a); (B)(24) and (35); (C)(1); and (D)(1).

V. Contact Information:

Office of the Vice President for Administration, 956-88626405, jgeuveia vpadmin@hawaii.edu

VI. References:

- http://www.hawaii.edu/offices/bor/

Approved as to Form:

__________________________________________  ______________________
Cynthia Quinn Kendra Oishi  Date
Executive Administrator and Secretary of the Board of Regents
I. **Purpose:**

To set forth policy on classification plans and compensation schedules.

II. **Definitions:**

No policy specific or unique definitions apply.

III. **Policy:**

A. Except for civil service positions, the board shall classify all positions in the university and establish compensation schedules as appropriate.

B. The president, with the exception of select undelegated executive and managerial personnel, is authorized, consistent with existing statutes and board policies, to grant special salary adjustments in situations where funds are available and the adjustments are warranted on the basis of retention, market, equity, and/or merit.

C. Executive and managerial positions are classified and compensated in accordance with the executive and managerial personnel policies in RP 9.212.
D. Compensation shall be in accordance with provisions reflected in the most current collective bargaining agreement negotiated between the university and the exclusive collective bargaining representative. In the event that the faculty member is not subject to collective bargaining, the president shall have the authority to establish compensation guides.

E. The classifications of faculty positions in the university shall be as provided below.

1. Section 304A-1002, Hawai‘i Revised Statutes, provides that “The board of regents shall classify all members of the faculty of the university including research workers, extension agents, and all personnel engaged in instructional work….”

2. The faculty classification system for all campuses at the university shall be as follows:

   a. Tenured and Tenure Track Faculty: Tenured and Tenure Track Faculty shall be engaged in direct instruction consisting of active engagement with students in the classroom or applied venues, and/or oversight and supervision of internships, clinical work, applied learning, theses, and dissertations. Tenured and Tenure Track Faculty shall be classified as “F”. This classification shall include those previously classified as “R”, “I”, “M”, and “J”. In addition to direct instruction:

      (1) F faculty shall engage in research and scholarship that advances innovation, creates new knowledge and knowledge practices, and benefits students as well as the broader community.

      (2) F faculty shall also engage in service inside the university and in the community.

   b. Librarians: Librarians shall provide students and faculty with modern, timely access to information by selecting relevant resources for acquisition, digitizing collections, and organizing and storing information. Librarians shall assist faculty and students in their scholarly pursuits and conduct research in areas that contribute to the advancement of knowledge in relevant fields. Librarians are eligible for tenure and shall be classified as “L” faculty, which shall include those previously classified as “B”.

   c. Support Faculty and Extension Agents: Support Faculty and Extension Agents are faculty that are not primarily engaged in direct instruction, but are engaged in academic support including student,
research, and academic program support, or are engaged in
agricultural extension activities. Support Faculty and Extension
Agents shall be classified as “FSE”. FSE faculty shall not be eligible
for tenure but may be eligible for employment security characteristic
of other public employees. This classification shall include those
previously classified as “S” and “A”.

d. Renewable Term Faculty: Renewable term faculty are faculty that are
retained through non-permanent, non-tenure track appointments.
Renewable Term Faculty shall be classified as “FR”.

e. Non-Compensated Faculty: Non-Compensated Faculty are non-
compensated, non-tenure track faculty that may teach and/or perform
research. Non-Compensated Faculty shall be classified as “FNC.”

2.3. The president is delegated the authority to establish a detailed faculty
classification plan, administer the plan, and make amendments to the
plan, provided that the plan complies with relevant board policies. Any
changes to classification categories any new faculty categories or
permissible campus faculty groups shall be subject to prior approval of
the board, shall apply prospectively, provided that existing faculty shall
have the option of applying to be classified in new categories.

a. The plan may shall include, at minimum, the following faculty
categories: Tenured and Tenure Track Faculty (F), Librarians (L),
Support Faculty and Extension Agents (FSE), Renewable Term
Faculty (FR), and Non-Compensated Faculty (FNC). Instruction (I’ for
all faculty excluding law and clinical medicine faculty; J for law; M for
clinical medicine; and C for community colleges); Researcher (R),
Specialist (S), Librarian (B), Extension Agent (A), Graduate Teaching
Assistant, Lecturer, Visiting and Other Faculty and Non-compensated
Faculty.

b. At a minimum, the faculty classification plan shall include
general statements of duties and responsibilities and minimum
qualification requirements.

(1) When the situation warrants, and especially in those fields where
advanced degrees are not commonly held by faculty members,
other evidences of scholarly, artistic or professional attainment
may be accepted in lieu of advanced degrees. In general,
“equivalents” will be used sparingly and only when there is clear
evidence that the substituted items of training and experience are
in fact equivalent in qualifying the faculty member for the
individual’s duties and responsibilities.-
3. Titles of positions are determined by the board, and no faculty member may use any title not specifically authorized. Members of the faculty in divisions other than instruction, when engaged in teaching, shall bear the instructional title appropriate to their grade.

4. University of Hawai‘i at Mānoa classification schedules.

   a. The board faculty classification system includes seven general categories for the University of Hawai‘i at Mānoa with grades within each category.

      (1) Instruction (‘I’ for all faculty excluding law and clinical medicine faculty; J for law; M for clinical medicine), includes graduate teaching assistants, instructors, assistant professors, associate professors, and professors.

      (2) Researcher (R), includes junior researchers, assistant researchers, associate researchers, and researchers. When applicable, the R series title substitutes the special area for the word “researcher,” for example, “assistant agronomist,” “associate meteorologist,” or “plant pathologist.”

      (3) Specialist (S), includes junior specialists, assistant specialists, associate specialists, and specialists. The S series is used for specialties not primarily involved with research, for example, “associate specialist in student personnel.”

      (4) Librarian (B), includes ranks II to V.

      (5) Extension agent (A), includes junior extension agents, assistant extension agents, associate extension agents, and county extension agents.

      (6) Graduate teaching assistant.

      (7) Lecturer includes persons employed for short-term teaching assignments, usually on a part-time basis.

   b. Clinical titles for non-compensated faculty appointments in Health Science and Social Welfare.

      (1) The titles clinical professor, associate clinical professor, assistant clinical professor, clinical instructor and clinical teaching assistant are non-compensated appointments in the Colleges of Health Sciences and Social Welfare (medicine, nursing and dental hygiene, and social work) for practitioners with professional qualifications in the health and welfare sciences who take an active role.
in formal teaching, tutorials, clinical instruction, hospital practice, or field guidance of students.

5. University of Hawai‘i at Hilo and University of Hawai‘i, West O‘ahu

a. The faculty classification system includes three categories for the University of Hawai‘i at Hilo and the University of Hawai‘i, West O‘ahu, with grades within each category:

(1) Instruction ('I' for all faculty), includes graduates teaching assistants, instructors, assistant professors, associate professors, and professors.

(2) Lecturers include persons employed for short-term teaching assignments, usually on a part-time basis.

(3) Affiliate faculty is a non-compensated appointment usually to professional personnel with a particular interest or capability which may contribute to the teaching or research program of the campus; except for occasional lectures or consulting with individual students, affiliate faculty do no teaching. Authority to appoint affiliate faculty is delegated to the president who shall promulgate policies and procedures relating to the selection and appointment of affiliated faculty.

6. Community College and Maui College classification schedule

a. The faculty classification system includes one category for the community colleges and Maui College with grades within each category:

(1) Instruction includes lecturers, instructors, assistant professors, associate professors, and professors.

b. The plan may include statements of classification principles for use in the classification of community college faculty.

F. High Demand Disciplines.

1. The president is delegated the authority to establish high demand academic disciplines for which recruitment and/or retention of faculty of quality desired by the university exceed the maximum of the appropriate salary schedule.

2. The president is authorized to recruit faculty in the recognized high demand disciplines at salaries that exceed the maximum of the appropriate salary schedule.
G. Graduate Assistants.

1. The president shall have the authority to establish, amend, and administer a classification and compensation plan for graduate assistants.

H. Administrative, Professional, and Technical (APT) Positions.

1. APT classification and pay system.

   a. For all APT positions, including athletic coaches and related administrators, the board delegates to the president the authority to:

      (1) Adopt, revise, and abolish career group standards and bands.

      (2) Assign positions to career groups and bands.

      (3) Determine designated new hire rates for career groups and bands.

      (4) Promulgate policies and procedures relating to the classification, compensation, and appointment terms of coaches and related administrators, including a salary schedule, in accordance with this policy.

   b. The APT Appeals Board shall adjudicate appeals filed on the banding of individual positions. The Appeals Board shall support its decisions by findings based on fact.

      The APT Appeals Board shall consist of three members serving staggered terms of three years. One member shall be recommended by the university and one by the exclusive representative of APT employees, in accordance with Chapter 89, Hawai’i Revised Statutes. The third member shall be recommended by the university and exclusive representative. The appointment of all three members shall be referred by the president to the board for approval. If there is no agreement as to the third member, the board shall appoint such member.

      Members of the APT Appeals Board shall be familiar with state organization and personnel functions and preferably have knowledge of university organizations and functions and position classifications. Such members may be excluded personnel or members of other governmental or private firms. However, they shall not be employees or officers of the university or of any state bargaining unit or employee organization which represents state bargaining unit members unless mutually agreed to by the parties concerned.
The members of the APT Appeals Board shall select a chairperson.

(Note: For amended listing of the APT career groups and pay bands, refer to Administrative Procedure 9.210 of the University of Hawai'i Systemwide Administrative Procedures Manual.)

2. Athletic Coaches and Related Administrators

a. Definitions

Original Term: The term of the initial contract at the time the contract is entered into. Where there is an Original Term with no extension, the Original Term shall be the Existing Term.

Existing Term: The remaining time period for any contract term at any point in time.

Amended Term: The time period that is established as a result of a contract extension that combines (1) that portion of an Original or Existing Term that remains to be completed; and (2) the term of the extension beyond that Original or Existing Term. Any years that have already been completed shall not be included for purposes of calculating the Amended Term.

b. Approval

i. Board of Regents

Upon recommendation of the chancellor and the president, the approval of the chair or vice chair of the Board of Regents and the chair or vice chair of the Committee on Intercollegiate Athletics shall be required for:

(1) Original Terms of head coaches of more than 5 years;

(2) Amended Terms of head coaches of more than 5 years; or

(3) Appointments, extensions and salary adjustments for head coaches, non-head coaches, and administrators exceeding the salary schedule by more than twenty-five percent (25%) and/or exceeding $500,000 annually.

ii. Delegation to the president

I. The authority to approve all other appointments and compensation of head coaches, non-head coaches, and administrators is delegated to the president, which may be further delegated. Civil service employees in positions in the university subject to Chapter 76, Hawai'i Revised Statutes, shall be
appointed, compensated, and otherwise governed by the provisions of law applicable to such positions.

J. Special Compensation—University of Hawai‘i at Mānoa and University of Hawai‘i at Hilo faculty.

1. Visiting summer session faculty. Visiting summer session faculty members receive a travel differential in addition to salary. The differential is incorporated in the salary of such faculty members and is as follows:

   Pacific Coast——$300.00
   Midwest———$400.00
   East Coast——$500.00
   Asia or Europe——$700.00

2. “Occasional” lecturers. “Occasional” lecturers in summer session courses approved with provision for guest lecturers are paid honoraria based on a rate of $25.00 per hour. Such lecturers are paid by voucher on a requisition signed by the instructor in charge of the course and the dean of the summer session.

3. A faculty member who prepares and grades a comprehensive examination for students who wish to obtain credit for a course by taking such an examination is paid a stipend of $5.00 per credit hour plus $5.00 for each additional student.

IV. Delegation of Authority:

The president, with the exception of select undelegated executive and managerial personnel, is authorized, consistent with existing statutes and board policies, to grant special salary adjustments; establish compensation guidelines; establish, plan, administer, and amend faculty and graduate assistant classifications; establish high demand academic disciplines; and recruit. See RP 9.202(B), (D), (E)(2), (F), and (G), (H), and (I).

V. Contact Information:

Office of the Vice President for Administration, 956-6405, vpadmin@hawaii.edu

VI. References:

- http://www.hawaii.edu/offices/bor/

Approved as to Form:
Kendra T. Oishi
Executive Administrator and
Secretary of the Board of Regents
I. **Purpose**

To set forth policy on evaluations of Board of Regents’ appointees.

II. **Definitions:**

No policy specific or unique definitions apply.

III. **Policy:**

A. Board appointees will be evaluated periodically in accordance with the guidelines below and the specific procedures developed by the appropriate administrative offices to implement this policy. These performance evaluations shall be conducted in order:

1. To provide assurance to the university and its constituents that professional staff resources and particular areas of expertise are being used to the best advantage;

2. To provide for the systematic recognition of excellence and develop incentives for superior performance; and

3. To provide means for the improvement of performance in furtherance of the university’s mission.

B. **Tenured faculty shall participate in a periodic review at least once every five years.** In recognition of the special role of the faculty in the academic mission of the university, procedures for periodic review of faculty performance must provide safeguards for academic freedom and shall provide the opportunity for participation of faculty peers in the review process. **Accordingly, each chancellor, in consultation with appropriate faculty governance organizations, shall develop procedures for such review which incorporate these principles. The procedure shall include a requirement for evaluation of every faculty member at least once**
every five years, and may provide for exempting faculty who have undergone a review for reappointment, tenure, or promotion, or who have received a merit salary increase during this period. Faculty review procedures shall be submitted by the chancellor for approval by the president.

C. It is the responsibility of Deans, Chancellors, Provost, Vice Chancellors/Vice Provosts, and/or other appropriate academic administrators to additionally ensure that all periodic reviews are conducted in a manner that will minimize conflicts of interest within units, and ensure balanced, diverse, and relevant input including that of faculty peers.

Guidelines and procedures for periodic review, including the use of performance improvement plans as necessary, shall be developed by each major academic unit (UH Mānoa, UH Hilo, UH West O'ahu, Community Colleges) and submitted for approval by the president. An annual report on the outcomes of such reviews shall be provided to the board.

C.D. Administrative, professional, and technical (APT) employees and non-tenurable academic personnel shall be evaluated at least once every three years according to procedures approved by the president.

D.E. Employees in the executive and managerial classifications shall be evaluated annually as specified in RP 9.212.

E. For any campus which does not have an approved faculty review procedure development in accordance with paragraph b. above for implementation in academic year 1981-82, faculty shall be evaluated according to procedures approved by the president. These procedures shall remain in effect until procedures developed in accordance with section b. are approved and implemented.

IV. Delegation of Authority:

There is no policy specific delegation of authority.

V. Contact Information:

Office of the Vice President for Administration, 956-6405,
jgouveiayadmin@hawaii.edu
VI. References:

- http://www.hawaii.edu/offices/bor/

Approved as to Form:

_____________________________     ___________
Cynthia Quinn Kendra Oishi       Date
Executive Administrator and
Secretary of the Board of Regents
Supporting the Findings and Recommendations of the Tenure Task Group and Requesting the University of Hawai‘i Administration to Facilitate the Implementation of Board Policy Revisions Thorough Faculty and Union Consultation

WHEREAS, the primary mission of the University of Hawai‘i is to provide environments in which faculty, staff, and students can discover, examine critically, preserve and transmit the knowledge, wisdom, and values that will help ensure the survival of present and future generations with improvement in the quality of life; and

WHEREAS, the faculty of the University are of paramount importance as they play a critical role in the quality and effectiveness of meeting that mission; and

WHEREAS, since the onset of the COVID-19 pandemic, the University of Hawaii Board of Regents (“Board”) and administration have held numerous discussions on the topic of mission and vision, specifically with a goal of directing limited resources toward areas that have been identified as priorities for the University and the State; and

WHEREAS, the Board decided during its February 18, 2021, meeting to create a permitted interaction group (“Task Group”) to review and investigate the issue of tenure with a focus on the following areas: (1) the history and purpose of tenure; (2) the evolution of and current views and developments on tenure; and (3) the current criteria and decision-making process for tenure; and

WHEREAS, the Task Group was presented with information on the origins and purpose of tenure and found that a seminal point in the development of tenure appeared around 1915 when the American Association of University Professors published its report which set forth the principles of academic freedom and solidified the institutionalization of tenure with respect to faculty that were employed in institutions of higher education, for the primary purpose of protecting academic freedom; and

WHEREAS, other scholarly articles clarify that the modern concept of tenure is not an assurance of lifetime employment, but rather an assurance of academic due process and protection against arbitrary retribution; and

WHEREAS, the Task Group also acknowledges the fact that in recent years, the University has been steadily reducing the number of tenured faculty, and that tenure is still critical to attract, retain, and support University faculty; and

WHEREAS, the Task Group met and further agreed to review three specific aspects of tenure: (1) the University’s faculty tenure classification system, (2) practices on periodic review
as they relate to current views and developments on tenure, and (3) the alignment of tenure with the mission and priorities of the University; and

WHEREAS, the Task Group reviewed applicable Regent Policies (“RP”), and found some policies to be dated, overly complex, and inconsistent with modern practices at comparable universities, and are proposing revisions to those RPs; and

WHEREAS, the Board hereby concurs with the findings and recommendations of the Task Group.

NOW, therefore, BE IT RESOLVED that the Board:

1. Supports the adoption of the proposed revisions to RP 9.201 (Attachment A) to establish policy direction in conducting promotion and tenure to ensure that university priorities and mission are met.

2. Supports the adoption of the proposed revisions to RP 9.202 (Attachment B) regarding classification plans. Where the current policy has at least eight types of tenure classification schemes, the proposed revised policy would simplify and reduce the number of classifications: Tenured and Tenure Track Faculty, Librarians, Support Faculty and Extension Agents, Renewable Term Faculty, and Non-Compensated Faculty.

3. Supports the adoption of the proposed revisions to RP 9.213 (Attachment C) regarding periodic review to clarify responsibilities and to provide policy guidelines to ensure that fair and balanced reviews occur.

4. Directs the President and Administration of the University to facilitate the implementation of these proposed revisions to Regent Policies as set forth above, through consultation with faculty and unions, and to conform Board policies as well as Executive Policies to the recommendations in this Resolution. The Board Secretary and the President may make non-substantive amendments to the proposed revisions, as needed, following consultation with faculty and unions, as long as such amendments do not change the meaning or intent of the policy revisions. Administration is requested to periodically notify the Board of the progress of consultation, and on the results of consultation, including any recommended revisions, by March 31, 2022, for subsequent consideration by the Board’s committees on Academic and Student Affairs and Personnel Affairs and Board Governance, or other referral as determined by the Board Chair.

BE IT FURTHER RESOLVED that a copy of this Resolution be transmitted to the Executive Director of the University of Hawai‘i Professional Assembly.
ATTACHMENTS

Adopted by the Board of Regents
University of Hawai‘i
_______________, 2021
Letter of Dissenting Opinion

Aloha Chair Moore and Board of Regents:

On February 18, 2021, the University of Hawai‘i Board of Regents established and gave the Tenure Permitted Interaction Group (“Task Group”) an important assignment; to fully explore tenure, including its history and purpose, how tenure has evolved, current views of tenure from those outside the University of Hawai‘i system, and a review of current processes, criteria and decision-making on tenure.

In the last legislative session, certain legislators began to audaciously step outside the scope of their responsibilities and attempted to micromanage the University of Hawai‘i’s operations. It was appalling to witness a legislator publicly admit that the positions of specific tenured faculty members were being targeted for termination. This is some important context because tenure has been a topic of debate and discussion for more than half a century, and was one important reason the faculty sought fair representation with the University of Hawaii Professional Assembly in 1974.

The formation of this Task Group was based in part on the bold, even vindictive, attacks on individual faculty members and the autonomy of the University of Hawai‘i. The intent was to address tenure in an objective manner, not further the predilections of legislators and influence their capricious decision-making.

Rather than taking advantage of this unique opportunity, we find ourselves in a counterproductive situation. Many members of the Task Group came to the table with erroneous, preconceived notions about tenure, which unfortunately has impacted the objectivity of the group’s overall focus and discussions. I felt it was my kuleana to represent the interests of the faculty, and my words and detailed explanations fell on deaf ears in my attempt to change the narrative to accurately reflect what tenure is and is not. Tenure is not merely job security, and does not accurately define the work of faculty members, but rather it describes the protection from interference in how faculty carry out the elements of their work, whether in classroom instruction, or in the right to publish thoughts, ideas, beliefs, political issues or research. This right dramatically differentiates faculty from any and all other state employees.

Our discussions have not revealed any valid or actionable problems with the University of Hawai‘i’s tenure processes that have merit to address, yet the Task Group is moving ahead in proposing sweeping changes that are very top-down in nature and clearly not necessary. There is no question that the proposed recommendations from the Task Group will cause undue anger and frustration among the faculty, who have endured constant attacks from external forces and will now be facing an internal enemy at a time when it is most important for us to move forward together.

Based on my observations and our discussions to date, we have strayed away from that original purpose and are not delivering on the requests and expectations of the Board of Regents.
discussions and the decisions made by the Board of Regents based on the Task Group’s recommendations will ultimately negatively impact faculty. The Board of Regents cannot take this decision, role, and responsibility lightly. I am writing this as my formal personal dissenting opinion as a member of the Task Group. For the record, I would like to make the following points about tenure that I hope the Regents will seriously consider before making any determination or decision:

- First, the Task Group erroneously approached tenure as an obstacle to quality teaching and research at the University of Hawai‘i by viewing tenure purely and solely as a tool of absolute job security or lifetime employment. As a result, the underlying tone and tenor of the discussions were antagonistic instead of exploratory. It was evident that there was a predetermined agenda and intent on dismantling the UH’s tenure system. I truly believe this was not the intent and purpose of the Board of Regents. These Task Group members, including some UH administrators, mistakenly believe the University of Hawai‘i administration has virtually no ability or avenue to intervene and/or address substandard performance. The prevalent perception is that tenure is an iron-clad protection from terminating faculty members who do not meet performance expectations and requirements of the position. Unfortunately, these skewed notions are impacting the entire group-think process.

- I appreciate the Task Group’s invitation to Deb Halbert, who offered meaningful background information on the history and purpose of tenure to bring all members up to speed and establish a common baseline of our understanding of tenure. However, our discussions are not being built on that foundation and there is a divergence of opinions that is holding us back from making thoughtful decisions and recommendations to the Board of Regents.

- Tenure was established at institutions of higher learning to safeguard a faculty member’s right to academic freedom. This is essential to those who teach and conduct research, especially at R1 universities such as the University of Hawai‘i at Mānoa. Tenure provides the essential conditions and optimal environment for faculty to educate students, to pursue research and innovation, and to draw upon evidence-based conclusions that are free from undue political interference or corporate pressure.

- Granting tenure to a University of Hawai‘i faculty member is at least a five-year process that involves a great deal of rigor and peer review. By contrast, civil service positions in the State enjoy security after a six-month probationary period. Other UH positions (Unit 8 APT employees) have “employment security” after three years in a permanent position.

- All other peer institutions of higher education that grant tenure can terminate a faculty member for cause, substandard performance, or for extraordinary circumstances like fiscal exigency or program discontinuation. The University of Hawai‘i is no different. These managerial rights to terminate faculty under those conditions are clearly outlined and defined in the UHPA/BOR Unit 7 Agreement. Faculty understand the granting of
tenure places a far greater burden and responsibility on them to maintain high standards of research and instruction, both inside and outside of the classroom, and know they are setting an example for junior faculty who are striving to obtain tenure.

The key for any successful university is to have its Regents create and enact policies that will better assist the university’s administration in cultivating and fostering a learning environment where faculty can thrive, innovate, create, and transfer knowledge and information for students and to benefit the broader community. Regents must operate at a high level, focusing on policies to facilitate a positive environment for higher learning, and then step out of the way to let the faculty do what they do best as experts in their fields.

Cultivating respectful conversations among the University of Hawai‘i administration, University of Hawaii Professional Assembly and faculty have proven to be the best approach to advancing the mission of the University of Hawai‘i. Students must remain the focus. Over the past year and a half, faculty have shown they are adaptable, flexible, and collaborative and this has been key to the University of Hawai‘i delivering more 17,000 diplomas, degrees, and certificates to students in the midst of this pandemic.

We can, and must do better, for students, faculty and the University of Hawai‘i system.

Mahalo,

Christian Fern
Executive Director
University of Hawaii Professional Assembly
Item VIII.
Executive Session

ITEM TO BE DISCUSSED IN EXECUTIVE SESSION
October 14, 2021

MEMORANDUM

TO: Randolph G. Moore
Chair, Board of Regents

VIA: David Lassner
President

VIA: Michael Bruno
Provost

FROM: V. Vance Roley
Dean and First Hawaiian Bank Chair of Leadership and Management

SUBJECT: APPOINTMENT OF DR. ELIZABETH DAVIDSON AS INTERIM ASSOCIATE DEAN (ACADEMIC AFFAIRS), SHIDLER COLLEGE OF BUSINESS

SPECIFIC ACTION REQUESTED:

It is requested that the Board of Regents approve the appointment of Dr. Elizabeth Davidson as Interim Associate Dean (Academic Affairs), Shidler College of Business, University of Hawai‘i at Mānoa, at an annual salary of $271,884 ($22,657 monthly), subject to any E/M salary adjustments, as appropriate, effective October 22, 2021 through October 21, 2022, unless sooner relieved.

Additionally, in her faculty position, Dr. Davidson currently receives an endowment from the UH Foundation. It is further requested that the Board approve the continuance for Dr. Davidson to receive the UH Foundation endowment to supplement her salary at an annual rate of $28,116, which results in a total annual compensation of $300,000.

RECOMMENDED EFFECTIVE DATE:

October 22, 2021 through October 21, 2022, unless sooner relieved.
ADDITIONAL COST:

Dr. Davidson will receive a 10% increase in her 11-month faculty salary from $247,164 to $271,884. The current Associate Dean’s annual compensation is $251,964. This additional cost to the base salary will be covered within the College’s budget.

It should be noted that the Board previously approved the incumbent Associate Dean to supplement her annual salary through a UH Foundation endowment fund of $50,000, which results in a total annual compensation of $301,964. The total annual compensation requested for Dr. Davidson is $300,000, which includes the base salary of $271,884 and the UH endowment fund of $28,116. There is no additional cost associated with Dr. Davidson continuing to receive the endowment from UH Foundation.

PURPOSE:

To fill the associate dean position with an interim associate dean will provide continuing effective academic leadership, including administrative and assessment responsibilities, for the College’s academic programs until such time that a national search can be conducted.

BACKGROUND:

Pursuant to Board of Regents’ Policy, EP 9.212, Executive and Managerial Personnel Policies, requests for salary adjustments, other than annual salary adjustments, for merit, equity or retention basis that exceed the maximum of the range set forth in the Salary Schedule shall require Board approval.

The College’s current associate dean is returning to faculty status effective October 1, 2021 after seven years of exemplary service in the associate dean position. This leaves the College with a critical vacancy that must be filled to provide continuing effective academic leadership for the College’s academic programs to ensure program requirements are fulfilled.

Professor Davidson has twenty-five years of service in business education at the Shidler College of Business. She teaches courses related to the management of information technology in business organizations, including information technology for global business management, enterprise data governance, health informatics and population health, and human resource information systems. After receiving a B.A. in mathematics, summa cum laude, from Clark University, she worked for a decade as an IT professional for two Fortune 500 firms, while also completing her M.B.A. from Clark University. She earned her Ph.D. in Management (Information Technologies specialization) at M.I.T. Sloan School of Management.

In 1996, Professor Davidson joined the University of Hawai‘i at Mānoa as an Assistant Professor in the College of Business Administration, was tenured and promoted to Associate Professor in 2002, and to Professor in 2007. She served as Department Chair for Information Technology Management from 2005-2014 and is again serving as Chair since Fall 2020. Professor Davidson served as Director and Graduate Chair of the Communications and Information Systems (CIS) Ph.D. program from 2015-2018.
In these various roles, Professor Davidson has been a leader among the Shidler faculty. In 2007, she was appointed as the W. Ruel Johnson Distinguished Professor in recognition of her outstanding professional experience, academic leadership and research accomplishments. In addition to her administrative service as ITM Department Chair for over 10 years, she has served as Chair of the College Curriculum and Program Committee and co-chaired the Administrative Services and the Staff and Faculty Relations sub-committees in strategic planning initiatives, as well as serving on numerous faculty committees for AACSB accreditation reviews, faculty recognition, and assurance of learning. In 2019 she led the development and approval process for the Masters of Information Systems Management (MSIS) degree program through the Shidler College of Business and Mānoa Faculty Senates, and the “4+1” pathway for MIS majors; and as department chair managed the program’s Fall 2020 inauguration.

In addition to her service accomplishments at Shidler College of Business, Professor Davidson is a recognized leader in her academic discipline. In 2018 she was awarded a Lifetime Achievement Award for the Organizational Communication and Information Systems (OCIS) Division of the Academy of Management for her service as program and division chair 2010-2015 and numerous editorial roles. She served as associate and senior editor for four of the leading journals in her academic field from 2004-2020 (*MIS Quarterly, JAIS, EJIS, I&O*), including as Editor in Chief for *Information and Organization* from 2014-2020. In these roles, she advanced scholarship in her field through her editorial leadership and by mentoring junior scholars through the publication process to publish award-winning papers. She was recognized as the “Best Senior Editor” in 2018 for her academic discipline’s leading journal (*Journal of the Association of Information Systems*).

Professor Davidson’s research program integrates scholarly rigor with community engagement. She has served as co-PI for two NSF grants, the most recent focused on the development of health care data governance organizations, a critical concern in Hawai‘i and elsewhere with the Covid-19 pandemic. From 2009-2013, she served as research and program director for a multi-year program in coordination with the Hawai‘i Medical Foundation to assist physicians in small practices in Hawai‘i to integrate health information technologies into their practices. These and other research endeavors have resulted in scholarly publications in top journals in her field, as well as contributing directly to advancing health IT adoption in Hawai‘i. As an educator, Professor Davidson has contributed across the board from the undergraduate BBA, MBA programs (Global, Executive, Distance), Masters of Human Resources, Masters of Information Systems Management, and PhD programs in Business Administration and Communications and Information Sciences (having chaired twelve doctoral students through completion of degree in total). In curriculum development and teaching, she integrates her scholarly research with best business practices and the knowledge and skills that students need to succeed in professional careers in an increasingly technology-infused world.

Through these many leadership roles and individual accomplishments, Professor Davidson has developed a deep understanding of the opportunities and mission of the Shidler College of Business to our students, our faculty and staff, to the University of Hawai‘i and the citizens of Hawai‘i. The faculty has always supported Professor Davidson in her various positions of leadership at Shidler.
Should Dr. Davidson return to faculty after serving as Interim Associate Dean, she will return back to her 11-month, tenured professor position at the fallback salary of $247,164 (15). However, her base salary will be reconfigured from that amount to include any negotiated UHPA collective bargaining salary adjustments which occurred during her term as Interim Associate Dean. We will ensure it is equitable and comparable to other faculty members at the same level and experience.

Shidler’s Associate Dean (Academic Affairs) position is currently assigned to band SM-3 of the University’s Executive/Managerial Salary Schedule with a minimum of $130,000, midpoint of $175,500 and maximum of $225,000. Given Dr. Davidson’s longevity and experience at UH Mānoa, she is well qualified to provide effective leadership to the College’s academic affairs during these unprecedented times with the COVID-19 pandemic and the return of the associate dean to faculty status.

In addition to the requested salary of $271,884, Dr. Davidson will continue to receive her endowed W. Ruel Johnson Distinguished Professorship in the amount of $28,116 (annual) in recognition of her outstanding professional experience, academic leadership and research accomplishments. She will remain eligible to retain this endowed professorship as long as she continues her professional and research activities, which she intends to do. We understand the President is authorized to approve this supplemental salary and therefore, including this supplemental amount within this appointment memo.

It is important to note that due to Dr. Davidson’s 25 years of service, she is one of the highly paid faculty members and thus, the requested salary is only a 10% increase from her faculty salary.

Since the University desires to attract and retain competent and experienced personnel and to offer compensation that is competitive with the appropriate market, the best source of comparable salary data is the annual survey done by the College’s accreditation organization, the Association to Advance Collegiate Schools of Business (AACSB) International. Data for the AACSB’s 2020-2021 Salary Survey were collected in the fall of 2020 and reported by academic discipline. The proposed total compensation of $300,000 for Dr. Davidson falls just below the 30th percentile of $320,238 (shown as $242,100 base as 75.6% of total compensation) for all public universities with Ph.D. programs for 9-month appointments (Attachment B). Additionally, the requested salary is below even the 10th percentile of $343,382 (shown as $233,500 base as 68% of total compensation) for top Public 21 business schools (Attachment C). The 9-month comparative data was utilized because it is more in line with the Academic Affairs and research nature of Dr. Davidson’s requested appointment.

Dr. Davidson’s international reputation, as demonstrated by her professional awards and appointments to editorial positions, as well as her administrative service record, rank her among the highly sought-after faculty members and administrative talent the Shidler College of Business strives to recruit and retain.
ACTION RECOMMENDED:

It is recommended that the Board of Regents approve the appointment of Dr. Elizabeth Davidson as Interim Associate Dean (Academic Affairs), Shidler College of Business, University of Hawai‘i at Mānoa, at an annual salary of $271,884 ($22,657 monthly), subject to any E/M salary adjustments, as appropriate, effective October 22, 2021 through October 21, 2022, unless sooner relieved.

Additionally, in her faculty position, Dr. Davidson currently receives an endowment from the UH Foundation. It is further requested that the Board approve the continuance for Dr. Davidson to receive the UH Foundation endowment to supplement her salary at an annual rate of $28,116, which results in a total annual compensation of $300,000.

Attachments
A. Curriculum Vitae of Dr. Elizabeth Davidson
B. AACSB Salary Survey: Public Universities with PhD Programs
C. AACSB Salary Survey: Public 21

c: Kendra Oishi
Executive Administrator and Secretary of the Board of Regents
ELIZABETH J. DAVIDSON

W. Ruel Johnson Distinguished Professor
Department of Information Technology Management
Shidler College of Business
University of Hawai‘i, Manoa
Honolulu, HI 96822

Education
Ph.D. MIT Sloan School of Management (specialization in Information Technologies)
MBA Clark University Graduate School of Management
BA Clark University (mathematics), summa cum laude

Academic positions
1996 – present: University of Hawai‘i, Manoa, Shidler College of Business
Department of Information Technology Management
2005 -- 2014: Department Chair, Information Technology Management
2015 – 2018: Director, Communication and Information Science Ph.D. Program
2016 – 2017 Chairperson, Curriculum and Program Committee, Shidler College of Business
2020 – present Department Chair, Information Technology Management

Academic Editorial Boards
Editor-in-Chief, Information and Organization, January 2015-present
Senior editor, Information and Organization, 2011-present; editorial board member 2007-2011
Associate editor, MIS Quarterly, January 2006-2009
Senior editor, Journal of the AIS, 2012-2014; editorial board member 2009-2011
Editorial Board, Information, Technology and People, 2000-present

Professional associations
Academy of Management (AoM)/Organizational Communications and Information Systems (OCIS)
AoM OCIS Division Chair 2012-3; OCIS Program Chair 2010-11; OCIS officer 2010-2014.
Association for Information Systems (AIS)
ICIS HealthCare Track program co-chair, 2015.
IFIP Working Group 8.2 on Information Technology and Organizations
WG 8.2 Conference program co-chair 2008 (Information Technology in the Service Economy, Toronto)

Visiting positions
May, 2016 University of Sydney
May, 2010 Visiting International Fellow Professor, Lancaster University
Visiting Fellow, Collaborations for Leadership in Applied Health Research and Care, Cambridge University

Professional positions in industry
Digital Equipment Corporation, Maynard, MA: Business systems analyst and Project manager
ELIZABETH J. DAVIDSON

Grants and awards

7/20    UH Shidler College research award
7/19    UH Shidler College research grant $15,000
9/18    National Science Foundation Grant (2 years; $215,000). (coPI with J. Winter, V. Fan)
7/18    UH Shidler College research grant $15,000
7/17    UH Shidler College research grant $15,000
7/16    UH Shidler College research grant $15,000
5/16    UH SSRC Grant (co-PI with PI Dr. J. Winter), $21,000
7/15    UH Shidler College research grant $15,000
7/14    UH Shidler College research grant $15,000
7/13    UH Shidler College research grant $15,000
7/12    UH Shidler College research grant $15,000
7/11    UH Shidler College research grant $15,000
7/10    UH Shidler College research grant $15,000
7/09    UH Shidler College research grant $12,500
7/08    UH Shidler College research grant $13,000
7/07    UH Shidler College research grant $14,000
5/06    UH Shidler College research grant $13,000.
1/06    Physicians Foundation research grant with Hawaii Medical Foundation, $900,000
5/05    UH College of Business Research grant $14,000
2/04    UH Technology, Innovation and Society $15,000 (with R. Lamb)
1/04    UH Center for International Business Education and Research $6,000 (with R. Lamb)
5/02    UH Center for International Business Education and Research (CIBER), $15,000
10/01   National Science Foundation Grant (3 years; $343,000) (with R. Lamb)
11/00   UH Center for Entrepreneurship and E-Business ($31,000) (with R. Lamb)
6/00    UH Global Research Center Summer Grant ($7,800)
5/00    UH University Research Council Seed Grant ($4,000)

Refereed Journal Publications


Edited Books

Refereed Book Chapters


Refereed Conference Papers


Matson, T. & Davidson, E. (2009). The A-List vs. the Long Tail: Technology Bloggers and Reputation,
ELIZABETH J. DAVIDSON


**Publications in practitioner journals and editorials (editorial reviewed)**


J Ortiz, A Young, MD Myers, RT Bedeley, D Carbaugh, H Chuhtai, ... E Davidson. (2019). Giving voice to the voiceless: The use of digital technologies by marginalized groups, *Communications of the Association for Information Systems* 45 (1), 2 (workshop report).


**Papers presentations at conferences and workshops (no proceedings)**


Conference panels and symposia


*The Role of Information Technology and Work Practices in Relational Coordination.* Panelist at Academy of Management Conference, Vancouver, BC, August 2015.

*Can This Paper Be Saved? Dealing with Difficult Reviews (and Reviewers).* Panelist at Academy of Management Annual Conference (OCIS Division), Philadelphia, PA, August 2014.


*Strangers in A Strange Land: Can IS Meet the Challenges and Opportunities of Research in Healthcare?*
Panel; August, 2004 Americas Conference on Information Systems, NYC, NY.

*Crossing disciplinary boundaries: Reflections on information systems research in health care and the state of Information Systems.* Panel; July, 2004 International Federation of Information Processing Working Group 8.2, Manchester, UK

**Invited speeches and presentations**


*Reflective Technology Assimilation: Facilitating Meaningful Use of Electronic Health Records in Primary Care,* University of Queensland, May, 2016.

*Social media and the ongoing construction of new occupational categories,* Australian National University, May, 2016.

*Tell me the Story with Qualitative Data,* workshop for Ph.D. Students, University of Sydney, May, 2016.

*Social media and the ongoing construction of new occupational categories,* University of Sydney, May 2016.


*Deconstructing the paper publication process. 7th International Workshop on GTM Research: Grounded Theory in Information Systems Research. Milan, Italy. Dec. 18, 2013.*

*Unfriending Coal: Social Media Affordances for a Social Movement Organization.* Presentation to faculty workshop at University of Passau, Passau, Germany, May 29, 2013.

*Formal Organization & Social Media in Collective Actions for Green IT.* Presentation to faculty workshop at Desautels Faculty of Management, McGill University, Montreal, CA, Nov 9, 2012.

*Business Information Services Managerial & Strategic Issues: How Industry Matters to BIS Strategy.* Panel presentation at the IEEE SERVICES 2012 8th IEEE World Congress on Services, June 24-29 2012.

*Bridging the Health IT Adoption Gap.* Guest presentation for Shidler College of Business Executive Education program in Healthcare Finance, June 13, 2012.

*Talking about technology: Using Discourse Analysis to Study Communication in Social Media.* Presentation to the Khon Kaen University Seminar, Communications and Information Sciences Program, University of Hawaii, July 12, 2011.

*Tech Talk: Investigating the Emergence of New Actors through New Media in Technology Innovation Discourse.* ISSTI seminar. University of Edinburg, May 24, 2010

*Navigating Publications: Confessions of and Advice from Associate Editors.* Workshop for Advanced Institute of Management Research (AIM), London, UK (with Dr. Mike Chiasson, May 7, 2010).


discourses, Simon Frasier University, September, 2008.

*Doing socially-informed academic research in healthcare IT: Challenges and opportunities,* Louisiana State University ISDS Distinguished Lecture Series, August 17, 2006.

*Academic science, industry and innovation: Making the links with information and communication technologies.* (Guest speaker, August, 2004 for Ocean Technology Speaker Series of the Oceans Advance Group, City of St. Johns, Newfoundland and Labrador.)


*E-Business Basics.* Society of Retired Executives (SCORE), April, 2002


*Basics of E-Commerce.* UH Entrepreneurs Club, October, 2000


*Basics of E-Commerce.* Workshop on Electronic Commerce, Honolulu, HI June, 2000


*Genre of Organizational Communication in Clinical Information Systems.* Decision Sciences Department Seminar, University of Hawaii, December 1997.


Courses developed/taught

**Ph.D.**
Survey of Ph.D. Research Methods for Social Sciences
Ph.D. Research Seminar in IT and Organizational Change

**MBA/Masters**
Enterprise Data Management
Project Management, IT and Organizational Change
Digital Transformations of Human Capital Management
Health Informatics and Population Health
IT Management and Strategy for Business
Supply Chain Management
Information Systems for Collaboration

**Undergraduate**
IT Management and Global Business
Systems Analysis and Design
Information Systems in the Organization
Project Management
Ph.D. students supervised (committee chair)

2004 Dr. Albert Tay (Dissertation topic: Understanding Communication and Coordination in Global Teamwork: A Study of Globally Distributed Information Technology Support)

2005 Dr. Yudthaphon Vichianin (Dissertation topic: E-Health Readiness Framework: A Case Study of Thailand)

2007 Dr. John Reardon (Dissertation topic: A study of the assimilation of electronic medical records by independent physician practices)

2007 Dr. Tsui-Chuan Lin (Dissertation topic: TV News Digitalization in Taiwan: An Intraorganizational Model of IT Adoption and Implementation)

2011 Dr. Maureen McLeod (Dissertation topic: Talking story: using narrative analysis to explore identity in middle school technology innovation)

2013 Dr. Tom Mattson (Dissertation topic: A Cultural Sociology Perspective on Patterns of Deference and Disrespect in Peer-to-Peer Feedback Systems in Electronic Fields of Practice)

2014 Dr. Kaveh Abhari (Dissertation topic: Collaborative Innovation Networks (CoIN))

2019 Dr. Joanne Loos (Dissertation topic: Examining the Influence of Wearable Health Monitors on Patients and Physicians in a Philippine Community)

2019 Dr. Christina Higa (Dissertation topic: Creating Community Centered Health Care: Leveraging Friend and Family ('Ohana) Support and Information Technology in Chronic Disease Management)

Current Ph.D. students: Kelly Holden, Pamela Estell, Bruce Barnes III
Staff Compensation & Demographics Survey (SCDS): Salaries: Administrative

Report Parameters

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Key
NI = Number of Incumbents.
NS = Number of Schools. Statistics will not display if Number of Schools is less than 5.
- More than 150% of the group median
- Less than 75% of the group median
Only positions reporting data are displayed.

DataDirect data are to be treated as CONFIDENTIAL

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9 Months

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<tr>
<td>Dean</td>
<td></td>
<td>153.8</td>
<td>142.5</td>
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Attachment C

Staff Compensation & Demographics Survey (SCDS): Salaries: Administrative

Report Parameters

<table>
<thead>
<tr>
<th>Focus School</th>
<th>University of Hawaii at Manoa, Shidler College of Business</th>
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<td>Comparison Group</td>
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<td>Group Size</td>
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<td>Year</td>
<td>2020-21</td>
</tr>
<tr>
<td>Currency</td>
<td>USD</td>
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</tbody>
</table>

Key

NI = Number of Incumbents.
NS = Number of Schools. Statistics will not display if Number of Schools is less than 5.
• - More than 150% of the group median
○ - Less than 75% of the group median

Only positions reporting data are displayed.

DataDirect data are to be treated as CONFIDENTIAL

<table>
<thead>
<tr>
<th>Code/Title</th>
<th>A. Focus Values</th>
<th>B. Comparison Group Statistics</th>
<th>A's Avg. as % of B's</th>
<th>Additional Percentiles</th>
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<td>Avg Base Sal</td>
<td>Avg Base Sal as % of Total Comp</td>
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