

Prepared by the Office of Human Resources.  
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## CLASSIFICATION AND COMPENSATION

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### A9.210 CLASSIFICATION AND COMPENSATION PLAN FOR APT PERSONNEL

#### 1. Purpose

To maintain a classification and pay system for Administrative, Professional, and Technical (APT) personnel in accordance with Section 304-13, H.R.S., Classification Schedule, and Board of Regents' Policies, Section 9-2, Classification Plans and Compensation Schedules.

#### 2. Delegation of Authority



The Board of Regents has delegated to the President the authority to establish new classes, revise existing class specifications, adopt class standards, assign and reassign classes to salary ranges, abolish classes, and classify and reclassify positions. The reassignment of classes to salary ranges in the absence of changes in class concepts (i.e., "repricing") will be subject to BOR confirmation.

#### 3. Objective

To establish procedures to maintain the classification and compensation plans for APT positions and to delineate the conditions under which classification requests should be submitted.

#### 4. Applicability/Responsibility

The University APT Classification and Compensation Plans are applicable to all APT positions and employees regardless of funding source. It is the responsibility of the organizational unit initiating the request for personnel action to submit to the Office of Human Resources (OHR) via the respective Senior Vice President, Vice President, or designee, a current position description when establishing a new position, or when the duties and responsibilities of an existing position significantly change.

The OHR is responsible for reviewing and evaluating all

requests for initial classification and reclassification actions, determining the appropriate classification, and notifying the initiating department of the results through the respective channels.

5. Classification Maintenance Procedure -- Attachment 1
6. Procedure for Downward Reallocation for Recruitment Purposes --Attachment 2
7. Administrative Review of Classification Action -- Attachment 3
8. Appeal of Classification Action -- Attachment 4
9. Compensation Maintenance Procedure -- Attachment 5
10. The Classification and Compensation Plan. A separate manual will be maintained consisting of the following:
  - a. General discussion and principles of classification and the purpose of classification and compensation plans
  - b. Explanation of class specifications
  - c. Occupational index of class titles and pay ranges
  - d. Class specifications

A copy of the manual shall be provided to each office listed in Item 11 below. Amendments shall be distributed to these offices by electronic medium or memoranda.

11. A copy of the APT Classification and Compensation Manual shall be maintained by each of the following offices:

Systemwide	Senior Vice President for Administration Vice Presidents Office of Human Resources
UH-Manoa	Senior Vice President University of Hawai'i and Executive Vice Chancellor at Manoa Deans and Directors Hamilton and Sinclair Libraries
Community Colleges	Senior Vice President University of Hawai'i and Chancellor Community Colleges

Provosts


UH - Hilo	Senior Vice President University of Hawai'i and Chancellor University of Hawai'i at Hilo
UH - West O'ahu	Executive Vice Chancellor - UH West O'ahu

Each administrator may designate a specific person to maintain such manuals.

Additionally, the manual may be accessed via the University of Hawai'i World Wide Web.

CLASSIFICATION MAINTENANCE PROCEDURE

- I. A position description shall be prepared and submitted for classification review and action when
  - A. a new position is to be established, or
  - B. there is a significant or substantial change in the duties and responsibilities resulting from management action (e.g., reorganization, reassignment of duties).

Requests to review existing positions shall be submitted via the appropriate Senior Vice President or designated University Administrator.
- II. Submit the following documents to the Office of Human Resources (OHR) via the appropriate Senior Vice President or designated University Administrator
  - A. Form SF-1, Request for Position Action (pink multi-carbon set)
  - B. Form 39, APT Position Description (refer to Administrative Procedure A9.250)
  - C. Official approved table of organization showing location of subject position
- III. Requests to establish new positions,
  - A. if supported by general, special, agency funds, or State funds deposited in trust fund accounts, shall be submitted in accordance with Administrative Procedure A9.195
  - B. if supported by federal or trust funds, shall be submitted via the appropriate Senior Vice President or designated University Administrator
- IV. Requests to review existing positions shall be submitted via the appropriate Senior Vice President or designated University Administrator
- V.  A position's duties and responsibilities must be in accordance with the approved table of organization and functional statements. In the case of a reorganization, the new table of organization must be approved in accordance with Administrative Procedure A9.040 prior to submission of

the classification request.

VI. Classification action by the Office of Human Resources (OHR)

- A. The OHR will classify the position and notify the employee through the appropriate administrative channels. All classification actions must be approved by the System Director of Human Resources.
- B. Classification actions will fall in one of the following categories
  1. New Class. If the duties and responsibilities of a position are so unique and incompatible with the concept of any established class, it may be appropriate to establish a new class with an appropriate class title, class specification, and assignment to an appropriate pay range.
  2. Reallocation. If the position is redescribed with such new duties and responsibilities which warrant a reallocation to another established class, this decision shall be made by the System Director of Human Resources.
    - a. Reallocation may be to a class assigned to a higher pay range ("upward" reallocation)
    - b. Reallocation may be to a class assigned to a lower pay range ("downward" reallocation)
    - c. Reallocation may be to a different class assigned to the same pay range
    - d. Reallocation may be temporary in nature. A temporary reallocation may be requested when a position is assigned higher level duties for a specific period, usually not exceeding one year, at the end of which the position shall revert to its authorized classification. Such reallocations shall be made only when temporary assignments cannot be made.
  3. Revised Class Specification. If the new duties and responsibilities are generally compatible with those of the class but substantively affect the concept of the class, an appropriate revision shall be made to the class specification, and a copy of the revision will be transmitted to each holder of the APT Classification and Compensation Manual.

4. No Change. If the reported change(s) in duties and responsibilities are still characteristic of the class, no change in classification shall be made. The updated position description will be maintained as the current official position description of record.

VII. The effective date of classification actions shall be as follows:

- A. New Positions. The date of official classification action or any other date determined by the System Director of Human Resources.
- B. Existing Positions.
  1. Upward Reallocation Action -- the first day of the pay period immediately following receipt of the position description by the OHR.
  2. No Change Action -- the first of day of the pay period immediately following receipt of the position description by the OHR.
  3. Downward Reallocation Action -- the first day of the pay period immediately following the date on which action is officially taken.
  4. Prospective Changes -- the first day of the pay period immediately following the effective date of the prospective changes in duties and responsibilities.
- C. In all cases, the effective date shall not be earlier than the beginning of the pay period following the approval of the reorganization which results in the classification action.

## Attachment 2

## PROCEDURE FOR DOWNWARD REALLOCATION FOR RECRUITMENT PURPOSES

A vacant position may be reallocated to a lower level class within the same series or to a lower level class in a related series when it is difficult to recruit at the authorized level and when such action will facilitate the filling of the position. This procedure is **not** intended to circumvent the provisions of the Unit 8 collective bargaining agreement. A department should recruit at the authorized classification level (unless specifically exempted by the System Director of Human Resources), and if unsuccessful, may then request the downward reallocation of the position. A position reallocated to a lower level class may be reallocated back to its authorized classification level, subject to the assignment of higher level duties commensurate with the qualifications of the incumbent. This procedure may also be used in other circumstances with the approval of the System Director of Human Resources (e.g., position requires specialized knowledge and skills; temporary budgetary constraints, etc.).

1. The department shall prepare an SF-1 (pink) and insert as justification, the following statement:

*Request that the subject position be reallocated downward to the class           (indicate lower level class title, pay range, and BU for recruitment purposes. The authorized classification of the position is           (insert current authorized class)          . The request for downward reallocation of the position is due to recruitment difficulty (or other specific reasons, which must be fully described.*

2. The effective date shall be no earlier than the date the Office of Human Resources takes action on the request.
3. The department is not required to submit a redescription of the position. The position description, which was the basis for allocation to the authorized class, remains the official description of record for the position.
4. When the department (re)advertises the position, the minimum qualifications must be consistent with the new lower level class. Refer to the appropriate class specification for the new minimum requirements (i.e., education, experience, knowledge, skills and abilities).
5. To reallocate the position back to its authorized

classification level or to an intervening level, the department shall prepare an SF-1 (pink). The department must certify that the incumbent is performing the higher-level duties and that the incumbent meets the minimum qualification requirements of the higher level class.

Notwithstanding the fact that the incumbent meets the requirements of the higher level class, the department must wait a minimum of six months from the incumbent's hire date before submitting a request for reallocation. This addresses the circumvention and manipulation of the recruitment process and also serves as the minimum quantitative indication that the incumbent has acquired sufficient on-the-job experience to perform higher level work characteristic of the requested class. The department will insert the following statement in the justification block:

*Request that subject position be reallocated to the class,      (class title, class code, pay range, BU) . The incumbent of the subject position performs work characteristic of the requested class and meets the requisite minimum qualifications of the class. The authorized classification for the position is (class title, class code, pay range, BU)*  
..

6. The effective date shall be the first day of the pay period immediately following the date of the action taken by the OHR.
7. In the event that there is no appropriate lower level class to which the position may be reallocated in accordance with the foregoing, the position may be readvertised as a trainee position and a Training Agreement effected by the System Director of Human Resources upon request from the appropriate University Administrator. The term of the Agreement shall be for the period necessary to qualify the applicant for the appropriate lower level class. At the end of the term, the trainee may be appointed to the appropriate class. The certification of the designated University Administrator to the System Director of Human Resources, as to the development of the trainee, shall be considered a factor in deciding the appointment to the position.



## ADMINISTRATIVE REVIEW OF CLASSIFICATION ACTION

Should the classification action taken by the System Director of Human Resources be viewed by the incumbent and/or supervisor as not appropriate to the scope and complexity of the assigned duties and responsibilities of the position, the employee (and his/her exclusive representative, as appropriate) and/or supervisor may file a request for administrative review of the action.

Such request shall be in writing and received by the System Director of Human Resources within twenty (20) calendar days of the notification of the initial action. The written submittal must include the appropriate identifying information -- position title, position number, organization, incumbent's name, supervisor's name -- the desired classification action and a full and complete justification of the requested classification.

All administrative review requests shall be filed on the specified form, UH Form 34, Request for Administrative Review of Classification Action. See following page.

REQUEST FOR ADMINISTRATIVE REVIEW OF CLASSIFICATION ACTION

Position No. \_\_\_\_\_

Current Classification of Position: \_\_\_\_\_

Name of Incumbent: \_\_\_\_\_

Name of Supervisor: \_\_\_\_\_

Organization: \_\_\_\_\_

Requested Classification of Position: \_\_\_\_\_

Justification for Requested Action (*include all pertinent information, an analysis of the distinguishing features of the present and requested class, and other relevant data to support the request*) (attach additional pages as needed):

\_\_\_\_\_  
Signature of Incumbent

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Supervisor

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Exclusive Representative,  
as appropriate

\_\_\_\_\_  
Date

c:     Respective Senior Vice President, Vice President or Designee

#### APPEAL OF CLASSIFICATION ACTIONS

The classification action of the System Director of Human Resources may be appealed to the APT Classification Appeals Board (hereinafter referred to as "Board") by the incumbent and/or supervisor of the position. The employee may be assisted by his/her exclusive collective bargaining representative.

A formal appeal to the Board may be submitted if the employee and/or supervisor is not satisfied with the results of the administrative review. The administrative review process must be exhausted before an appeal to the Board is accepted. The appeal must be received by the Office of Human Resources within twenty (20) calendar days after notification of the results of the administrative review of the position.

The appeal must be filed on the UH Form 35 (see following page) and must contain a detailed discussion of the reasons for believing that the action of the System Director of Human Resources is not appropriate, the requested action, and the justification for the requested action.

Appeals will be scheduled for hearing by the Board. The Board will prescribe the procedures for the hearing. The Board's decision shall be binding on the parties.

Actions shall be retroactive to the date of the action being appealed.

APPEAL OF CLASSIFICATION ACTION

Date:

TO: System Director of Human Resources

VIA: (Name of Supervisor and Title)

FROM: *Name of Appellant (Type) and Title*

SUBJECT: Classification Appeal

I am filing an appeal on the classification action taken on Position No. \_\_\_\_\_, which was allocated to the APT class \_\_\_\_\_, Pay Range \_\_\_\_\_, effective \_\_\_\_\_. The position is located in \_\_\_\_\_. I request that the position be reallocated to the class: \_\_\_\_\_, Pay Range \_\_\_\_\_.

I believe the request is justified on the basis of the following: *(indicate why the position should be reallocated as requested, including a comparative analysis of the applicable classes; attach additional sheets as necessary.)*

***(Submit in five (5) copies)***

\_\_\_\_\_  
Signature of Appellant

c: Respective Senior Vice President, Vice President or Designee

COMPENSATION MAINTENANCE PROCEDURES

I. Compensation Plan and Salary Schedules

The APT compensation plan consists of designated pay ranges to which classes are appropriately assigned. The compensation plan is adopted by the Board of Regents and adjusted, as appropriate. Pay rates within each established pay range, referred to as salary schedules, are negotiated with the exclusive collective bargaining representative. Incumbents of all positions allocated to a given class are paid accordingly.

II. New Hire Rate

- A. New hires shall be compensated at the minimum step of the respective pay range.
- B. In some cases wherein the qualification requirements of a position are so specialized or unique whereby suitable candidates cannot be hired at the entry step (e.g., research, engineering, or technical positions), an appointment may be made above the entry step subject to the following conditions:
  1. The tasks requiring special or unique qualifications are reflected in the position description;
  2. The applicant possesses the requisite extraordinary and unusual knowledge and skills which may be used to provide the highest level of service to the program;
  - and
  3. The recommended step places the selectee at a rate which is in proper relation to other employees having similar or comparable job-related qualifications.

OR

The selectee is the sole qualified applicant and is unwilling to accept the position at the minimum step.

Recommendations for appointments above the entry step are to be sent to the System Director of Human Resources, accompanied by appropriate supporting data. The data must include, but not be limited to, a copy of the advertisement(s), the completed UH Form 17, the

selectee's APT application and resume.

Appointments above the entry step must be approved by the President or his/her designee. The approval authority is delegated to the System Director of Human Resources.

- C. In the event that there are no qualified candidates available to fill a vacancy, the position may be reallocated to a class at a lower level and the position readvertised in accordance with applicable University procedures.

In the event there is no applicable lower level class, the position may be readvertised as a trainee position under a properly executed Training Employment Agreement. In this case, the trainee-employee shall be compensated at the minimum of the pay range which is two ranges lower than that of the authorized class.

See Attachment 2.

### III. Compensation Adjustment Upon Transfer, Promotion, Demotion, Reallocation and Repricing Actions



- A. "Transfer" is the movement of an employee from one position to another APT position which is in the same class or in a different class but assigned to the same pay range in the same APT salary schedule. The employee who transfers shall continue at the same basic rate of pay.
- B. "Promotion" is the movement of an employee from one position in one class to an APT position in another a class which is assigned to a higher pay range in the same APT salary schedule.
1. An employee who is promoted shall be compensated at the lowest step in the higher pay range which rate exceeds the employee's basic rate of pay by at least five percent (5%). If there is no step in the higher pay range which rate exceeds the employee's basic rate of pay by at least five percent (5%), the employee shall be compensated at the maximum step of the higher pay range.
  2. An employee who is promoted shall be placed on a step and shall not be advanced beyond the maximum step in the higher pay range.

3. The compensation of an employee who is promoted within twelve (12) months from the effective date of a demotion, other than a disciplinary or involuntary demotion, shall be adjusted from the rate the employee would have received had the demotion not occurred.
- C. "Demotion" is defined as the movement of an employee from one position to another position allocated to a class assigned to a lower pay range in the same APT salary schedule.
1. "Voluntary Demotion" is defined as a demotion requested by an employee and granted by the appointing University authority.
    - a. An employee who accepts a voluntary demotion shall be compensated at the highest step in the lower pay range which rate is not greater than ninety-five percent (95%) of the employee's basic rate of pay.
    - b. Should the employee's adjusted rate fall between two steps in the lower pay range, the employee shall be compensated at the step in the lower pay range which rate is immediately below the employee's basic rate of pay.
    - c. In no situation shall the employee be placed below the minimum step of the lower pay range.
  2. "Disciplinary Demotion" is defined as an involuntary demotion resulting from disciplinary measures wherein the employee is moved from one position to another position allocated to a class assigned to a lower pay range. The System Director of Human Resources and appropriate Senior Vice President shall determine whether the employee retains the same basic rate of pay or shall have his/her pay reduced by one step. If the demoted employee's pay exceeds the maximum step of the lower pay range, his/her pay shall be reduced to the maximum step of the lower pay range.
- D. "Reallocation" is the movement of a position from one class to another class on the basis of nature, scope and complexity of assigned duties and responsibilities.
1. "Upward Reallocation" is the reallocation of a

position from one class to another class assigned to a higher pay range. The incumbent of the position shall be compensated as though a promotion had been made; provided, however, that the employee's pay shall not be advanced beyond the maximum step of the higher pay range.

2. "Downward Reallocation" is the reallocation of a position from one class to another class assigned to a lower pay range. The incumbent of the position shall retain his/her basic rate of pay, provided:
    - a. If the employee's basic rate of pay falls between two steps of the lower pay range, the employee shall be compensated at the step in the lower pay range which rate is immediately below the employee's basic rate of pay and awarded a temporary differential (TD) such that the employee retains his/her basic rate of pay.
    - b. If the employee's basic rate of pay falls above the maximum step in the lower pay range, the employee shall be compensated at the maximum step of the lower pay range and awarded a temporary differential (TD) such that the employee retains his/her basic rate of pay.
  3. "Temporary Reallocation" is the reallocation of a position from one class to another class for a limited term due to a temporary change in the assigned duties and responsibilities. An employee whose position is temporarily reallocated to a class assigned to a higher pay range shall be compensated as though he/she had been promoted; provided, when the position is subsequently returned to its proper classification, the employee shall be compensated at the rate he/she would have received were it not for the temporary upward reallocation.
- E. "Repricing" is the reassignment of a class or classes from one pay range to another. Pay actions related to the repricing of classes shall be as follows:
1. An employee whose position is in a class which is repriced to a higher pay range shall be compensated as though he/she were promoted.



2. The pay rate for an employee whose position is in a class which is repriced to a lower pay range shall be compensated as though the downward repricing had not occurred (i.e., retain same basic rate of pay in the lower pay range), provided:

If the employee's existing basic rate of pay falls between two steps in the lower pay range, the employee shall be compensated at the step in the lower pay range which rate is immediately below the employee's basic rate of pay and awarded a temporary differential (TD) such that the employee retains the existing basic rate of pay.

#### IV. Temporary Differential Pay Adjustment

An employee shall be eligible for a temporary differential (TD) pay adjustment in the event of an involuntary demotion due to reorganization, reallocation action, or repricing of the respective class,

- A. The amount of the TD pay adjustment shall be the difference between the employee's existing basic rate of pay and the employee's new basic rate of pay.
- B. The TD shall not be considered a part of the basic rate of pay.
- C. The TD shall be reduced by an amount equal to any adjustment in the employee's basic rate of pay due to promotion, upward reallocation, or upward repricing action. When the adjustment resulting from these actions is greater than or equal to the TD pay, the TD pay shall be eliminated.
- D. When an employee who is receiving a TD pay adjustment is affected by the action described in V below, the TD shall be continued in the new pay range.

#### V. Increment

Increments shall be awarded in accordance with applicable statutes, UH policies and collective bargaining agreements. However, incremental increases may only be made up to the maximum step. An employee must have the required years of service on a salary step before becoming eligible to move to the next higher step.

#### VI. Effective Date of Classification Actions

- A. The effective date of all classification actions taken on encumbered positions shall be the first day of the pay period immediately following the receipt of the request by the OHR.
- B. The effective date of a reallocation action based on changes in duties and responsibilities resulting from a reorganization shall be no earlier than the date on which the reorganization was approved.
- C. The System Director of Human Resources may determine any other appropriate effective date.
- D. In the event that the more than one personnel action is effective on the same date, pay adjustments shall be made in the following order:
  - 1. Increment or longevity pay increase or negotiated wage increase;
  - 2. Change to new salary schedule;
  - 3. Repricing;
  - 4. Promotion;
  - 5. Reallocation; and
  - 6. Other personnel actions

#### VIII. Maintenance of Pay Plan

##### A. Repricing

The pricing of classes shall be reviewed biennially in the even-numbered years. The procedures for submitting requests and the schedule of review are as follow:

- 1. Employees and University Administrators, through appropriate Senior Vice Presidents, may file requests for pricing adjustments. The exclusive collective bargaining representative may file directly on behalf of its membership.
- 2. Requests are to filed on the UH Form 42 (see last page of this attachment) and submitted to the System Director of Human Resources by the specified date.
- 3. Schedule of Review
  - a. January 1 -- The Office of Human Resources will announce that requests for pricing adjustments may be filed
  - b. January 31 -- Deadline for filing requests
  - c. April 1 -- Office of Human Resources

recommends adjustments to the President

- d. May 1 -- President approves/disapproves recommended pricing adjustments and informs the Board of Regents for informational purposes
- e. July 1 -- Pricing adjustments approved by the President become effective

- 4. The findings of the Office of Human Resources, relative to each request, will be made available to the parties involved.

B. New Classes

When a new class is established, the System Director of Human Resources shall determine the proper pricing of the class and its effective date.

C. Revised Classes

Should the revision to an existing class also result in a change to the pricing of the class, the System Director of Human Resources shall determine the proper pricing of the class and the effective date.

- VIII. Merit increases for outstanding performance may be awarded under procedures to be established by the University.

REQUEST FOR PRICING ADJUSTMENT

Date:

**MEMORANDUM**

TO: System Director of Human Resources

FROM:

SUBJECT: Request for Pricing Adjustment

A request for pricing adjustment is hereby submitted for the following class:

Class Title:

Current Pay Range:

Recommended Pay Range:

Evidence supporting this recommendation is provided below  
(*Indicate why the class should be repriced to the requested pay range. Include comparative analyses with other pertinent classes.*):

Signature of Requestor: \_\_\_\_\_

Position Title: \_\_\_\_\_

Organization: \_\_\_\_\_

**(Submit two (2) copies)**

c: Respective Senior Vice President, Vice President or Designee