

Prepared by the Office of Human Resources.
This replaces Administrative Procedure No. A9.210
dated January 1, 1996.

November 1998

CLASSIFICATION AND COMPENSATION

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, HRS, Classification Schedule, and Section 9-2 BORP, 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 Chief Executive Campus Officer or official 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. Administrative Review of Classification Action -- Attachment 2
7. Request for Administrative Review of Classification Action (form) -- Attachment 3
8. Appeal of Classification Action -- Attachment 4
9. Appeal of Classification Action (form) -- Attachment 5
10. Compensation Maintenance Procedure -- Attachment 6
11. Request for Pricing Adjustment -- Attachment 7
12. Special Compensation Adjustment -- Attachment 8
13. Request for Special Compensation Adjustment -- Attachment 9
14. 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 15 below. Amendments shall be distributed to these offices by electronic medium or memoranda.

15. 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, University of Hawaii 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	Chancellor - UH West O'ahu

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

Additionally, the Manual may be accessed via the World Wide Web at the following address:

<http://www2.hawaii.edu/dhmr/ohr/bor/aptcomp.htm>

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
 - 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 A3.101 **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 authorized personnel officer/designee and 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 new duties and responsibilities which warrant a reallocation to another established class, the 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 designated offices and POs via electronic medium or memoranda.
 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. 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.
- D. The System Director of Human Resources may determine any other appropriate effective date.

Attachment 2

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 OHR 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 (Attachment 7) 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: APT Classification Appeals Board
c/o 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. The System Director of Human Resources shall consult with the Director of EEO/AA prior to approving or denying recommendations for appointment above the entry step.

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.

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 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. Multiple Personnel Actions

In the event that more than one personnel action is effective on the same date, pay adjustments shall be made in the following order:

- A. Increment or longevity pay increase or negotiated wage increase;
- B. Change to new salary schedule;
- C. Repricing;
- D. Promotion;
- E. Reallocation; and
- F. Other personnel actions

VII. 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 (Attachment 9) and submitted to the System Director of Human Resources by the specified date.
3. Schedule of Review
 - a. January 1 -- The OHR will announce that requests for pricing adjustments may be filed
 - b. January 31 -- Deadline for filing requests
 - c. April 1 -- OHR 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 OHR, 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.

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

SPECIAL COMPENSATION ADJUSTMENT (SCA)

I. Principle

- A. Special compensation adjustments may be awarded for retention or longevity.
 - 1.. Special compensation adjustments for **retention** are subject to the availability of funding, approval of the President and are intended to serve as incentive for highly skilled APT employees to continue employment with the University in lieu of accepting bona fide job offers at higher salaries from other employers and to preclude the adverse impact on the University resulting from the loss of highly skilled employees.
 - 2. Special compensation adjustments for **longevity** may be authorized by the President and are intended to recognize employees for loyal service to the University and are subject to the mutual agreement of the exclusive collective bargaining representative.
- B. All special compensation adjustments shall be at the discretion of the University and shall not be subject to appeal other than for instances of discrimination or procedural violations.

II. Guidelines for Special Compensation Adjustment for Retention (**SCA-Retention**)

- A. Purpose of SCA-Retention: The SCA-Retention is intended to serve as an incentive for an APT employee to continue employment with the University when the APT employee has received a bona fide job offer at a higher salary from another employer.
- B. Request for SCA-Retention: A positively supported SCA-Retention request may be submitted via the appropriate Senior Vice President to the President on the SCA-Retention form by the APT employee's Dean, Director, Provost or equivalent. The respective Senior Vice President shall review the request and forward positive recommendations to the President.
- C. Basis for SCA-Retention: The SCA-Retention recommendation must include the following:
 - 1. offer letter from another employer and any other pertinent documentation of a valid job offer,
 - 2. the impact of the SCA-Retention adjustment on program budget and operations,

3. description of contributions made by the employee and benefit to the University in retaining the employee, including, identification of the employee's bona fide occupational qualification, and the special expertise, skill or knowledge that is critical to retention at the University,
 4. identification of anticipated difficulties in securing a qualified replacement,
 5. impact on and consequence to the University should the employee terminate employment with the University,
 6. impact of SCA-Retention on employees in comparable positions requiring the same bona fide occupational qualification, special expertise, skill or knowledge, and
 7. any other relevant information or arguments in support of the request.
- D. Effective Dates of Awards - SCA-Retention shall be effective the date of the President's approval. Upon the President's approval, the appointing authority shall initiate appropriate action to authorize payment of the approved retention adjustment.
- E. Funding of Awards - Funding for SCA-Retention awards shall be the responsibility of the appointing authority.
- F. Method of Award Payment - The SCA-Retention shall be made in the form of step movement or movements not to exceed the maximum step in the employee's salary range.
- G. Decision-making and Consultation: The President shall approve or deny those requests submitted for SCA-Retention. A copy of the approved requests shall be forwarded to the exclusive collective bargaining representative within ten (10) calendar days of the President's approval.
- III. Procedures for Special Compensation Adjustment for Retention (**SCA-Retention**)
- A. The Dean, Director, Provost or equivalent shall complete UH Form 80 (Special Compensation Adjustment-Retention) for those positively supported requests and submit the completed form to the appropriate Senior Vice President. The appropriate Senior Vice President shall review the request and forward those positive recommendations to the President. Requests for SCA-Retention not recommended by the Senior Vice President shall be returned to the submitting Dean/Director/Provost or equivalent.

- B. The President shall review and approve or deny requests for retention adjustments and return a copy of the decision to the respective Senior Vice President, Dean/Director/Provost or equivalent, OHR and employee. A copy of the approved requests shall be forwarded to the exclusive collective bargaining representative within ten (10) calendar days of receipt of the President's approval.
- C. The appointing authority shall initiate appropriate action to authorize payment of the approved retention adjustment.

IV. Guidelines for Special Compensation Adjustment for Longevity (**SCA-Longevity**)

When deemed appropriate by the President, the President may authorize special compensation adjustments to APT employees based on the employee's continued loyal and dedicated service (longevity) to the University, subject to the mutual agreement of the exclusive collective bargaining representative.

V. Procedures for Special Compensation Adjustment for Longevity (**SCA-Longevity**)

The President may authorize special compensation adjustments to employees based on years of service to the University and performance of each employee, subject to the mutual agreement of the exclusive collective bargaining representative.

Request for Special Compensation Adjustment - Retention
for Administrative, Professional and Technical Employees

Section A - Requesting College or Department

Name of Requesting Dean, Director, Provost or Equivalent: _____
Name of School, College or Office: _____
Signature: _____

Section B - Employee Information

Employee's Name: _____
(Last) (First) (M)
Current Position:
Classification _____ Position No. _____
Pay Range & Step _____ Monthly Pay Rate _____
Requested:
Step _____ Monthly Pay Rate _____
Initial Date of Last Continuous APT Hire at the University _____

Section C - Instructions for Requesting an SCA-Retention Adjustment

1. A special compensation adjustment for **retention** may be made to encourage an APT employee to continue employment with the University in lieu of accepting a bona fide job offer at a higher compensation rate from another employer.
2. Appropriate written justification shall be attached and must include, but is not limited to:
 - a. offer letter from another employer and any other pertinent documentation of a valid job offer,
 - b. the impact of the SCA-Retention adjustment on program budget and operations,
 - c. description of contributions made by the employee and benefit to the University in retaining the employee, including identification of the employee's bona fide occupational qualification and the special expertise, skill or knowledge that is critical for retention at the University,
 - d. identification of anticipated difficulties in securing a qualified replacement,
 - e. impact on and consequence to the University should the employee terminate employment with the University,
 - f. impact of SCA-Retention on employees in comparable positions requiring the same bona fide occupational qualification and special expertise, skill or knowledge, and
 - g. any other pertinent information or arguments in support of the request.

3. The Dean or Director of the requesting Department/Office shall complete UH Form 80 (Special Compensation Adjustment - Retention) and submit the completed form to the appropriate Senior Vice President.

Section E - Recommendation of Senior Vice President

Attached are my comments regarding this request.

I recommend/do not recommend a Special Compensation Adjustment for Retention as cited above. (Requests not recommended shall be returned to the submitting Dean/Director/Provost or equivalent.)

Senior Vice President

Date

Section F - Action

Above cited SCA-Retention is Approved/Not Approved

Kenneth P. Mortimer

President, University of Hawai‘i, and
Chancellor, University of Hawai‘i at Mānoa

Date