



UH Systemwide Policies and Procedures Information System (PPIS)

Executive Policy 9.212

TITLE

Executive/Managerial Classification and Compensation

Executive Policy Chapter 9, Human Resources

Executive Policy & Procedure EP 9.212, Executive/Managerial Classification and Compensation

Effective Date: November 2017

Prior Dates Amended: October 2016, June 2017

Responsible Office: Office of the Vice President for Administration

Governing Board of Regents Policy RP 9.212, Executive/Managerial Personnel Policies

Review Date: November 2020

I. PURPOSE AND AUTHORITY

This Executive Policy (EP) 9.212 sets forth the policies and procedures for implementing Regents Policy (RP) 9.212 that governs Executive/Managerial (EM) positions at the University of Hawai'i. Generally speaking, EM positions have system-wide, campus-wide, or major program responsibilities that are critical to fulfilling the strategic mission of the University. These positions are at-will and are excluded from a bargaining unit pursuant to Section 89-6 of Hawai'i Revised Statutes (HRS) and, therefore, shall meet the criteria

set forth in Hawai'i Public Employee Relations Board (HPERB) Decision 75 and clarified in Decision 95.

Under the authority of the President, this EP outlines the administration of the EM program, through the System Office of Human Resources (OHR), and delegates authority to various university officials depending on the transaction.

II. DEFINITIONS

1. **Hiring Manager.** As used in this EP, the Hiring Manager is typically the supervisor and shall mean and refer to the person seeking to establish a new or fill an existing EM position. The Hiring Manager is typically an existing EM position.
2. **Unit HR:** As used in this EP, the Unit HR shall mean and refer to the position responsible for providing personnel and other human resources support for the Hiring Manager's unit. This position typically works directly with their respective Campus or System HR office.
3. **Campus or System HR:** As used in this EP, the Campus HR office shall mean and refer to the HR office for the respective 4-year campuses (Mānoa, Hilo and West O`ahu) and System HR shall mean and refer to the HR office of the Community Colleges System and/or OHR (see below).
4. **OHR:** As used in all University policies and procedures, OHR shall mean and refer to the Office of Human Resources for the University of Hawai'i System.
5. **4-Year Chancellors:** As used in this EP, 4-year Chancellors shall collectively mean and refer to the Mānoa Chancellor, Hilo Chancellor, and West O`ahu Chancellor.

III. EM CLASSIFICATION

POLICY

There shall be EM classes at the University that generally describe the functionality, responsibility, and authority of respective EM roles within the University. Only the President has the authority to establish, amend, or abolish EM classes, except for classes that report directly to the Board or the President. All EM classes can be found [here](#).

Each EM class shall be assigned to a band within the appropriate EM Salary Schedule. OHR is responsible for this assignment, which is primarily based on rank and reporting structure with consideration of current relevant market rates, equity in relation to comparable University positions, and value of the class in fulfilling the strategic mission of the University.

PROCEDURE

Establishing or amending an EM class occurs on a limited basis. It is not necessary when filling an existing EM position. It is only required (1) when a new or amended EM position is desired and an applicable class has not been established, and/or (2) to update the current functionality, reporting-rank, and authority of the class role.

Step 1. To establish or amend a class, the Hiring Manager should work directly with their Unit HR or Campus/System HR office, who in turn will coordinate with OHR, to complete a Class Establishment/Amendment/Abolishment Action Memo with the appropriate justification to the President.

Step 2. Upon approval by the President, OHR will assign the class to a band and update the EM Classification and Compensation Plan.

IV. EM SALARY SCHEDULE

Pursuant to RP 9.212, the President is responsible for adopting EM Salary Schedule(s) that set forth the compensation structure for all EM Personnel. By way of this EP, the President establishes four (4) distinct salary schedules for the following jurisdictions: System/Manoa, Hilo, West Oahu, and Community Colleges. OHR is responsible for updating and maintaining the EM Salary Schedule, which will consist of pay bands organized by rank and reporting structure.

For each band, OHR shall assign a minimum and maximum salary range, as well as a midpoint. When setting the minimum salary and range for each band OHR shall consider, for all classes within each band, the relevant competitive market rates in both higher education and local industry, responsibility of the positions, equity in relation to comparable University positions, and value of the class in fulfilling the strategic mission of the University.

The EM Salary Schedules shall be reviewed on a regular basis and adjustments shall be based on changes in the competitive markets, both higher education and local markets, as well as the University's financial situation.

V. POSITION ESTABLISHMENT

POLICY

There shall be individual EM positions with specific duties and responsibilities that reflect managerial and leadership requirements necessary to carry out the strategic mission of the University. Only the President has the authority to establish, amend, or abolish EM positions, except for positions that report directly to the Board or the President. For purposes of this EP, an amendment to the position only occurs when the amended specific duties and responsibilities fall outside of the assigned class.

Minor updates to positions that result in positions remaining within the assigned classes are delegated to the respective 4-year Chancellors and the Vice President for Community Colleges.

OHR shall maintain a record of all current EM position descriptions (PD(s)).

PROCEDURE

Step 1. The Hiring Manager shall work with his/her respective Unit HR to prepare a new PD or to amend an existing PD via OHR Form 63. A PD shall describe the duties, responsibilities, authority, and qualifications necessary to perform the job. See Sample PD.

Step 2. The Hiring Manager shall work with his/her respective Unit HR to submit a completed Request for Action Form (SF-2) with all required signatures, proposed PD, and a draft Establish New EM Position Action Memo to OHR.

Step 3. OHR shall ensure the PD complies with HPERB Decision 75 and clarified in Decision 95.

Step 4. OHR assigns the position to a class and works with the Campus or System HR office to finalize action memo for approval by the President.

VI. RECRUITMENT

POLICY

The University seeks to attract the best qualified candidates who support the mission of the University and who respect and promote excellence through diversity.

The President delegates the approval to recruit and fill all EM positions within their unit to the 4-year Chancellors and the Vice President for Community Colleges for any position that does not report directly to them. This authority may not be further delegated.

All EM positions shall be filled through an open search process; provided, however, that

an EM position may be filled without a search process (1) when reassigning an existing EM employee to a position, (2) when filling a position on an acting or interim basis up to one (1) year, or (3) by written approval from the President, in consultation with the University of Hawai'i System Equal Employment Opportunity (EEO)/Affirmative Action (AA) Office and OHR, to waive an external search process. Waiver of recruitment for positions reporting directly to the President shall require approval of the Board.

Recruitment of EM positions shall be advertised in locations which are considered appropriate sources of recruitment, minimally the University's WorkatUH website. Minimum time periods for advertisement shall be established to ensure a broad, diverse applicant pool. Newspaper advertisements are not required. Campuses, however, may choose to advertise open recruitments in other sources such as the local newspaper or industry publications.

PROCEDURE

Step 1. The Hiring Manager shall review the PD to ensure that it accurately reflects the duties, responsibilities, authorities, and qualifications necessary to perform the job. If the PD requires revisions, the Hiring Manager shall work with his/her Unit HR to update or amend the PD pursuant to the policies and procedures described in Section V above.

Step 2. The Hiring Manager shall work with the Unit HR to complete a Request for Action Form (SF-2) with all required signatures and the official PD.

Step 3. The completed SF-2 and the official PD shall be forwarded to OHR as the official custodian of record. A copy shall also be sent to the System Budget Office to update the organizational charts and revise expenditure projections.

Step 4. The Unit HR shall advertise the position in accordance with the following:

| Type of EM Position | Recruitment Time Period |
|--|---|
| EM positions with responsibility over instruction and research | Advertisement in national professional and industry publications/websites - minimum 15 working days |
| EM positions with responsibility over support areas such as administration, academic support, student services, research support or community programs | UH website – minimum 10 working days |

Invitations for nominations of potential applicants may be considered for the purpose of encouraging broader applicant pools.

Step 5. If the position is advertised on a continuous recruitment basis, a first review date shall be indicated in the advertisement.

Step 6. If a waiver for the external search process is desired, the Hiring Manager shall work with his/her Unit HR to submit a written request via a Recruitment Waiver Action Memo.

Step 7. The Hiring Manager shall work with his/her Unit HR to identify a committee, to determine the committee's charge, to screen candidates, to propose evaluation criteria, to develop interview questions, and to ensure that all committee members receive necessary EEO/HR briefings.

Step 8. The interview process may include multiple interviews with various stakeholders

such as faculty, staff and students, if applicable, and, if appropriate, campus visits and presentations with campus groups.

Step 9. The Hiring Manager shall compile feedback from the committee, from various stakeholder meetings, and from reference checks and shall work with the Unit HR and the Appointing Authority to recommend a final selection to the Approving Authority. Other background checks may also be conducted as appropriate.

VII. APPOINTMENT AND INITIAL SALARY

POLICY

The University desires to attract and retain competent and experienced personnel and to offer compensation that is competitive with the appropriate market.

As a general rule, appointments into an EM position should be at the minimum of the salary band unless a higher salary is justified based on:

- The scope and complexity of the particular position relative to the other positions in the class;
- The candidate's demonstrated knowledge, skills and experience;
- The candidate's current salary and salary history; and
- The budget and fiscal conditions of the hiring unit.

Tenure upon initial appointment and a "fallback salary", faculty classification, and duty period may be approved in accordance with EP 9.215 for qualified EM personnel.

Should the EM employee return or move to the tenured position, the "fallback salary" shall be adjusted only for collective bargaining increases.

Pursuant to RP 9.212, there shall be an Appointing Authority and an Approving Authority for every EM position; provided that the Approving Authority shall be at least one level above the Appointing Authority in the organization, except for those positions that report directly to the Board.

For EM positions that report directly to the President, the President shall be the Appointing Authority and the Board shall be the Approving Authority. For all other EM positions, the President hereby delegates Appointing Authority and Approving Authority as follows, which authority cannot be further delegated:

| Salary Placement | Appointing Authority | Approving Authority |
|---|---|--|
| Salary is at or below the mean/midpoint | Vice Chancellor at Mānoa, Hilo & West O`ahu; or Vice President; or higher | One level higher than the Appointing Authority |
| Salary is above the mean/midpoint and at or below the maximum | Vice Chancellor at Mānoa, Hilo & West O`ahu; or Vice President; or higher | President |
| Salary is above the maximum | Vice Chancellor at Mānoa, Hilo & West O`ahu; or Vice President; or higher | Board |

For interim EM positions previously approved by the Board, reappointments at the same salary do not need Board approval.

PROCEDURE

Step 1. The Hiring Manager shall work with his/her Unit HR and the Appointing Authority to determine an appropriate salary placement in accordance with RP 9.212 and this EP, subject to the final approval of the Approving Authority.

Step 2. The Hiring Manager may discuss salary requirements with the selected candidate in order to determine feasibility of the hire and the ability to meet salary expectations. The Hiring Manager must discuss the desired salary with the Appointing Authority and Approving Authority prior to any verbal, written, informal, or formal offer to a candidate.

Step 3. The Hiring Manager works with his/her Unit HR to prepare the draft EM Appointment Action Memo as well as the Salary Placement Worksheet and submits to OHR for review. The Hiring Manager will submit a final appointment action memo and Salary Placement Worksheet via the Appointing Authority to the Approving Authority for approval.

Step 5. Upon approval of the Appointing Authority, a Provisional Offer Letter may be made to the selected candidate subject to the posting requirements pursuant to HRS § 89C-4 and final approval of the Approving Authority.

VIII. REPORTING AND POSTING REQUIREMENTS

POLICY

Annual Report. Pursuant to RP 9.212, OHR shall prepare an annual report for the President to provide to the Board that identifies all EM positions by band. For filled positions, the listing should show the date of appointment to the position, current salary, and the reason for any change to compensation that occurred since the prior report. For vacant positions, the listing should show the date the vacancy occurred and intentions regarding the filling or reassignment of the position. A copy of the current Salary

Schedule must also be included in the report.

Disclosure of proposed compensation. To comply with HRS § 89C-4, any proposed compensation or change in compensation for EM positions shall be properly noticed at an open board meeting for purposes of public comment. The effective date of such compensation shall be after the Board meeting.

IX. PERFORMANCE EVALUATION

POLICY

The University expects all EM employees to perform their duties and responsibilities in a manner that achieves the highest standards of quality and professionalism. Evaluations are a critical component of the continued employment, professional development, and equitable compensation of all EM employees.

All EM personnel who filled their current position by October 1st of the evaluation year shall be evaluated. EM evaluations shall be conducted on an annual basis, for the period covering April 1st through March 31st of the following year, to provide feedback regarding the achievement of goals and objectives, expectations, accomplishments, and overall performance. The evaluation shall be consistent with criteria and procedures established by the President and the Appointing Authority, including specific metrics aligned to the University's strategic vision.

The annual review shall also include the identification of goals and objectives to be accomplished in the coming year.

PROCEDURE

Step 1. Goals and objectives, which align with the strategic goals of the University and the associated campus or system level, shall be proposed by all EM personnel by April of each year. For EM personnel hired during the evaluation period (between April and

March), goals and objectives shall be established as soon as practicable after the start date.

Step 2. The EM employee's supervisor shall review, collaborate, and reach agreement with the employee on the goals and expectations for the April to March evaluation period.

Step 3. EM personnel shall be evaluated in accordance with established EM Evaluation Performance Criteria and Categories.

Step 4. All EM employees shall provide a written self-assessment to their respective supervisors regarding achievement of goals and objectives and other accomplishments for the evaluation year by April.

Step 5. OHR shall conduct a 360-degree Survey in February/March for all EM personnel that are evaluated.

Step 6. For the President, Vice Presidents and Chancellors, individuals from governance groups and/or operating units with whom they regularly interact shall be asked to provide written comments on the EM employee's performance by the end of March. For academic positions, such groups should include the faculty senate, student government and Native Hawaiian councils.

Step 7. For the President, written comments shall be sent to the Chair of the Board. For Vice Presidents and 4-Year Chancellors, written comments shall be sent to the President. For Chancellors within the community college system, written comments shall be sent to Vice President for Community Colleges.

Step 8. Upon receipt of all sources of feedback, the supervisor shall consider the EM employee's self-evaluation and 360-Degree Survey results and conduct a meeting with the EM employee to discuss their performance.

Step 9. The supervisor shall recommend a performance category rating to their

respective 4-year Chancellors via the Vice Chancellors, or to their respective Vice Presidents. For the Community Colleges, the supervisor shall recommend a performance category rating to their respective Chancellors who shall compile the review and the ratings for submission to the Vice President for Community Colleges. The Vice Presidents and 4-year Chancellors will compile and review the ratings for submission to the President by May 1 of each year.

Step 10. The President conducts the final review and approval of all performance ratings. If the rating is unsatisfactory, the supervisor, in discussion with the Appointing Authority, shall take proper action.

X. SALARY ADJUSTMENTS

POLICY

Salary adjustments are permitted under RP 9.212 and subject to the availability of Board-authorized funds for salary adjustments.

In the instance where adjustments are based on annual performance reviews for the EM class, the Board shall establish guidelines and approve salary adjustments for positions reporting directly to the Board. The President shall establish guidelines and approve salary adjustments for all other positions, an authority which shall not be further delegated; provided, further, that Board approval is not required for salary adjustments that exceed the maximum of the salary band. The President shall report to the Board on guidelines used for salary adjustments for positions under the President's delegated authority.

Salary adjustments may also be granted by the President on a case-by-case basis in accordance with guidelines established by the President. Salary adjustments may be considered and granted for circumstances such as merit, retention and equity via a Salary

Adjustment action memo to the President.

XI. TERMINATION

POLICY

EM personnel may be terminated from an EM appointment with or without cause at any time upon notification by the Appointing Authority. For termination with cause, there is no obligation of prior notice on the part of the University. For termination without cause of an employee without return rights, a notice period of three (3) months during first two (2) years of employment and a notice period of six (6) months after the first two (2) years of employment are afforded. For termination without cause of an employee with return rights, a notice period of thirty (30) days is afforded.

PROCEDURE

Step 1. A supervisor considering the termination of an EM employee, shall consult with his/her Unit HR and discuss with the Appointing Authority.

Step 2. If the Appointing Authority concurs to proceed with a "termination without cause", the supervisor shall prepare a letter of termination without cause and submit to the Unit HR for review. The Unit HR shall forward the letter to the

Appointing Authority for signature. The letter shall stipulate a notice period based on the EM employee's standing:

| | |
|---|-----------------------------|
| With return rights to another University position | Thirty (30) days' notice |
| Without return rights to another University position but with 2 or fewer years of EM service | Three (3) months' |

notice

Without return rights to another University position Six (6)
but with more than two (2) years of EM service months'
notice

Step 3. If the Appointing Authority concurs with a "termination for cause", no prior notice is required. The supervisor shall prepare a letter and submit to the Unit HR for review. The Unit HR shall forward to the Appointing Authority for signature.

Step 4. Upon the Appointing Authority's approval and signature, the supervisor shall issue the letter of termination to the employee.

XII. PROFESSIONAL IMPROVEMENT LEAVE

See RP 9.212 Executive and Managerial Personnel Policies

XIII. OTHER

Rights and Benefits. EM personnel are granted all rights and benefits afforded to other University employees as provided by statute, including Section 89C-2 (HRS), or by Board policy, except as may be specifically modified by this policy

Employment-related grievances may be filed under Administrative Procedure AP 9.110, Employment-Related Grievance Procedure for Persons (Including Applicants for Positions) Not Covered by Collective Bargaining Agreement Grievance Procedures or Applicable Procedures.

XIV. CONTACT INFORMATION

System Office of Human Resources at (808) 956-8988.

XV. REFERENCES

RP 9.212 Executive and Managerial Personnel Policies

Hawai'i Public Employment Relations Board Decision No. 75

Hawai'i Public Employment Relations Board Decision No. 95

Approved

Signed

November 04, 2017

David Lassner

Date

President

Topics

No Topics found.

Attachments

+ Non-Fillable Attachment(s)

- Attachment A: Class Establishment Amendment Abolishment Action Memo (2016-10)
- Attachment B: Updated EM PD form OHR 63 (2016-10)
- Attachment C: Sample EM PD (VP Acad AfF 89051 PD 11-14) (2016-10)
- Attachment D: Est New EM Position Template (2016-10)

- Attachment E: EM Waiver of Recruitment Template (2016-10)
- Attachment F: EM Appointment Template (2016-10)
- Attachment G: EM Salary Placement Worksheet Template (2016-10)
- Attachment H: Provisional Offer Letter wo Board Approval (2016-10)
- Attachment I: EM Evaluation Criteria and Categories (2017-03)
- Attachment J: 360 Assessment (2016-10)
- Attachment K: EM Salary Adjustment Template (2016-10)
- Attachment L: EM Termination Without Cause Template (2016-10)
- Attachment M: EM Salary Schedules (2016-10)
- Attachment N: SF1 (2016-10)