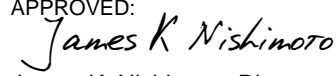
 <p style="text-align: center;">STATE OF HAWAII DEPARTMENT OF HUMAN RESOURCES DEVELOPMENT POLICIES AND PROCEDURES</p>	POLICY NO. 200.006 ECCD/Class	NO. of PAGES 14
	EFF. DATE 12/3/03	REV.NO. 2 10/11/16
TITLE: POSITION CLASSIFICATION DELEGATION OF AUTHORITY TO DEPARTMENTS		APPROVED:  James K. Nishimoto, Director

I. POLICY

The Director of the Department of Human Resources Development delegates authority to employing departments to approve certain kinds of position classification actions. Such actions must support the principles and objectives of the Classification Program, and be in accordance with established laws, rules, policies and procedures.

II. RATIONALE

The delegation of authority to take classification actions by operating departments is intended to result in more timely classification actions; more responsiveness to departmental priorities; improved partnership and communications between HRD and the line departments (departmental personnel offices, line managers); support the image of the departmental personnel officer (DPO) as a responsible decision-maker within his/her department and within the human resource system; improved communication between decision maker and managers, and decision maker and employees as a result of classification actions taken; improved understanding by employees and managers on appropriate uses of the classification process and improved management advisory services prior to position description (PD) preparation.

III. SCOPE

The following position classification actions are delegated to departments:

- Allocation of new and existing civil service positions to established classes, including temporary reallocations, reallocation of positions for recruitment purposes (formerly known as “joint memo,” “Manual on Delegation of Authority B”), and the establishment of vicing positions; (except for positions to be allocated to and/or from classes in the Excluded Managerial Compensation Plan (EMCP));
- Approval of retroactive effective dates on classification actions;
- Approval and cancellation of certain types of selective certification requirements on civil service positions; and
- Classification administrative reviews and appeals (except for positions to be allocated to and/or from classes in the EMCP).

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IV. RESPONSIBILITIES

A. HRD RESPONSIBILITIES

HRD has continuing responsibility for the statewide classification system, including the establishment and pricing of classes, authoritative interpretations of class specifications, establishment of statewide classification and pricing policies and standards, custody of official position descriptions, maintenance of bargaining unit determinations and maintenance of position data and generation of related reports.

HRD will provide technical assistance, consultation and on-the-job training, and establish/maintain procedures necessary to effectuate this delegation.

1. Technical Assistance/Consultation

- a) Provide advice on the use of classes including interpretations and relevant precedent cases, where applicable.
- b) Provide on-the-job training at HRD and classroom training, as appropriate.
- c) Make available pertinent references.
- d) Continue to participate in the Department of Budget and Finance reorganization reviews in order to maintain awareness of planned work changes which could affect the classification of positions and advise on classification issues.

2. Procedures

- a) Establish reporting and other related procedures for actions taken by the employing department.
- b) Establish post-audit procedures.
- c) Establish procedures to request the establishment of new classes and other non-delegated actions.

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B. EMPLOYING DEPARTMENT RESPONSIBILITIES

The employing department shall:

1. Adhere to merit system standards and applicable statutes and rules;
2. Further the objectives of the classification system and delegation, as described above;
3. Adhere to State classification and delegation policies and procedures;
4. Establish necessary internal procedures;
5. Have designated, trained and experienced personnelists to carry out the objectives of the classification system and of delegation. These trained personnelists, who will make the determinations on classification actions for the department, are those who are classified Personnel Management Specialist IV, or higher, and have had training and guided experience with the State classification system, and are committed to the objectives of the classification system and of delegation; and
6. Secure managerial commitment.
 - a) Managerial commitment to the objectives of a classification system is expected and must be obtained.
 - b) DPO commitment is expected as a result of adherence to professional principles.
 - c) Executive level commitment must be obtained through adequate orientation of the department head by the departmental personnel officer (DPO).
 - d) As appropriate, the DPO should provide similar orientation to division and office chiefs within the department.

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C. DEPARTMENTAL PERSONNEL OFFICE RESPONSIBILITIES

The departmental personnel office shall:

1. Record the receipt and disposition of all classification actions in the Human Resource Management System (HRMS) on a timely basis;
2. Ensure that the duties and responsibilities reflected in official position descriptions accurately reflect the duties and responsibilities assigned to positions, are in conformance with official organization charts and functional statements, and do not improperly overlap or conflict with the duties and responsibilities reflected in other position descriptions;
3. Prepare reports and other documentation required to justify all delegated actions taken;
4. Submit official position descriptions, reports and other documents to HRD/ECCD on a timely basis; and
5. Notify affected employees of classification actions taken on their positions, and their administrative review and appeal rights and procedures.

V. GENERAL PROVISIONS

A. POST AUDIT/ASSESSMENT

Post audits of classification actions taken by the departments may be conducted by HRD to assess the adequacy of the actions taken.

1. The purposes of the post-audit reviews and assessment activities are to:
 - a. Ensure appropriate actions (i.e. determine whether standards have been appropriately applied and whether actions taken are correct; take corrective actions as necessary);
 - b. Ensure adequate documentation (by evaluating and providing feedback on the adequacy of classifiers' reports including whether the basis for actions is adequately justified/documented);

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- c. Ensure and maintain the integrity and consistency of the classification system; and
- d. Ensure that delegation procedures are appropriate and that the entire process works smoothly.

2. Audit of Individual Actions

Post audits will focus on potential problem-type actions (e.g., secretary in a new program, allocation to a class above the journey level, unusual application of standards required, majority of positions in occupational area/class are with some other department). The size of the initial sample, and expansion to additional cases if deemed appropriate, is left to the discretion of HRD as is the timing of the review. It is expected that these selective post-audit reviews will be done on an as needed basis.

Specific cases may be assigned to HRD classifiers for review, follow up if required, and provision of advisory services. Should HRD determine that an on-site review should be included as part of the post audit process, the DPO will be informed and included in the on-site review, if he/she desires.

If problems are identified, personnel staff of the employing department will be contacted to advise/notify them, as necessary.

Should the post audit identify incorrect actions, the employing department will be notified of the findings and take corrective action in accordance with Section B, *Corrective Actions*.

If, in the course of a post-audit review, problems with other positions are discovered, HRD will notify the employing department to take appropriate action (e.g., redescribe outdated position descriptions).

Should the post audit identify problem areas, the employing department shall develop a plan, subject to approval by HRD, to address the area and closer oversight/monitoring may be imposed.

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Should the post audit identify cases of abuse of authority, HRD shall issue a written report to the employing department head, with a copy to the Governor. Recurrence warrants a similar report and a joint meeting of department heads. Continued difficulties will result in withdrawal of delegation by the Director of HRD at his/her discretion.

3. Periodic Reviews and Assessments

The overall operation of the classification program, in the employing department, and the realization of benefits through delegation, are also of concern. HRD will conduct these assessments periodically, at mutually convenient times, which may be linked with the employing department's annual currency review process. Areas of coverage may include, but need not be limited to, currency of position descriptions, appropriateness of classification actions, continued applicability/currency of specifications in use by the employing department, attainment of delegation objectives (improved timeliness, responsiveness to priorities, and communications and understanding), adequacy of departmental procedures and the extent to which the employing department has been able to foster the use of classification as a management tool.

Specific elements may include:

- **Organizational Review**
An organizational review of positions is generally anticipated. Areas of coverage may include, but need not be limited to, currency of position descriptions, appropriateness of classification actions, and continued applicability/currency of specifications in use by the employing department. Selection of the organizational unit and approach will be discussed with the employing department prior to study.
- **"Customer" Input**
Attainment of delegation objectives (improved timeliness, responsiveness to priorities, and communications and understanding between line managers and the personnel office), and the extent to which the employing department has been able to foster the use of classification as a management tool, also need to be assessed. For example, the employing

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department personnel staff may develop a survey to be used as a measurement tool in assessing the extent to which delegation objectives were met. The survey could be administered to line personnel prior to delegation and after delegation has been in operation for at least one year. A report of survey results which includes statistical and descriptive data regarding the sample population, statistical and narrative analysis of responses, overall assessment of the attainment of delegation objectives and critique of delegation activities could then be prepared and shared with HRD.

4. Adequacy of Services/Support by HRD

The employing department's personnel office will periodically provide an assessment of the adequacy of technical assistance, consultation, on the job training, procedures and other matters covered in Section IV, A. *HRD Responsibilities*.

5. Joint Assessment of Procedures

Staff of the employing department's personnel office and HRD will meet to review the efficacy of procedures and to determine whether additional streamlining is possible.

6. Joint Assessment of New Approaches

Staff of the employing department's personnel office and HRD will meet to assess the efficacy of new approaches to delegation.

B. CORRECTIVE ACTIONS

Upon receipt of a notice that the post audit indicates that an incorrect action was taken, corrective action will be taken by the employing department. The following corrective actions may be utilized:

1. Rescind the incorrect classification action.

"Rescinding" is considered a classification action. It is automatically retroactive. The salary of the position/incumbent shall be corrected on a current basis and pay back requirements are waived as provided by collective bargaining contract or Executive Order.

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Action to rescind the incorrect action shall be taken within one month of notification by HRD of the incorrect action.

2. Other Actions

If appropriate, the employing department may choose to reassign work consistent with the classification action already taken; transfer the employee to another position in the same class and reallocate the resultant vacant position to the correct class; or otherwise correct the action. If feasible, the employing department will proceed to take the corrective action and inform HRD of the action taken. If immediate implementation is not feasible, HRD will be informed of the plan of action within one month of the notification of need for corrective action. The plan shall provide for the corrective action to be implemented within a maximum of two additional months. The employing department will inform HRD when the action is taken.

C. CLASSIFICATION RELATED ACTIVITIES WHICH ARE NOT DELEGATED

1. Bargaining Unit Determinations

HRD will continue to provide all union notifications for both inclusions and exclusions and transfers between bargaining units. As a result, HRD will continue to review all classification actions involving exclusions and transfers between bargaining units.

2. Actions on EMCP Positions

HRD will continue to take all actions, including obtaining pre-requisite union agreement and providing notification of changes in roles/duties, on all positions proposed for allocation to, from and between EMCP classes.

3. New and Amended Class Specifications and Minimum Qualification Requirements

New classes and amendments to class specifications and minimum qualification requirements will be established by HRD with input from departmental personnel offices and program managers.

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4. Initial pricing administrative reviews and appeals

The conduct of initial pricing administrative reviews and presentation of initial pricing appeals are the responsibility of HRD.

5. Occupational Studies

Occupational studies will be conducted by HRD in consultation and cooperation with department personnel offices and program managers.

6. Other activities may not be delegated, as determined by HRD.

VI. PROCEDURES

A. CLASSIFICATION ACTIONS

1. Employing departments are delegated authority to approve initial allocation and reallocation of civil service positions to existing classes, except for initial allocation/reallocation of positions to/from EMCP classes.
2. Departmental personnel offices shall process and approve classification actions in accordance with HRD policies pertaining to position classification, *Instructions for Completing the Position Action Form for Civil Service Positions*, Form HRD-1, and all other pertinent laws, rules, policies and procedures.

B. TEMPORARY REALLOCATIONS

1. Employing departments shall have delegated authority to approve temporary reallocations for civil service positions (except for temporary reallocation of positions to and/or from a class in the EMCP).
2. Departmental personnel offices shall process and approve temporary reallocations in accordance with HRD Policy 200.007, *Temporary Reallocation of Civil Service Positions* and *Instructions for Completing the Position Action Form for Civil Service Positions*, Form HRD-1.

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C. REALLOCATION OF POSITIONS FOR RECRUITMENT PURPOSES (formerly known as “joint memo”, “Manual on Delegation of Authority B”)

1. In order to streamline the process and shorten the time needed to downgrade a position for recruitment, employing departments have delegated authority to change the classification of an established, vacant position, to a lower level within the same series, without redescribing the position. Vacant positions may be reallocated down to lower level classes within a series, and to authorized related lower-level classes when such action will facilitate filling the position, consistent with management’s determination of staffing needs. Positions so reallocated to lower level classes may also be reallocated back to their authorized levels, as well as any intervening related classes.
2. Instead of redescribing the position to recruit at a lower level, departmental personnel offices shall prepare an HRD-1 indicating the lower level class to effectuate the reallocation. Similarly, an HRD-1 may be used to return the position to its authorized level (or any intervening class within the series) as the employee gains the knowledge and skills and is assigned the work of the higher level class(es).
3. While changes in the position description are not required, supervisors/managers are required to adjust the actual work assignments/duties of the position, consistent with its classification, at all stages in the process.

Supervisors/Managers shall:

- a) Assign work consistent with the current classification of the position;
- b) Provide support and guidance to the employee to attain the necessary skills to perform higher level work; and
- c) Monitor the development of the employee and assign higher level work and request the employing department to reallocate the position to a higher level(s); or take corrective action if the employee does not progress satisfactorily through the developmental level(s) to full performance at the authorized level within a reasonable period of time.

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4. Departmental personnel offices shall have delegated authority to process and approve the reallocation of positions as described above (except for positions in EMCP classes) by following the Instructions for Completing Position Action Form (HRD-1) for Civil Service Positions.

D. ESTABLISHMENT OF VICING POSITIONS

1. New, temporary, identical positions may be established to perform the duties of an existing position when the incumbent of an existing position is unavailable due to extended sick leave, authorized temporary assignments, etc. The procedure is limited, however, to identical positions (i.e., the same duties, responsibilities and work setting) which are being established to vice for an existing position.
2. Departmental personnel offices shall have delegated authority to process and approve the classification of vicing positions as described above (except for positions in EMCP classes) by following the Instructions for Completing the Position Action Form (HRD-1) for Civil Service Positions.

E. RETROACTIVE EFFECTIVE DATES

1. Employing departments are delegated authority to approve an earlier effective date of classification action on an existing position when deemed equitable. Such effective date shall not be earlier than one year prior to the beginning of the pay period immediately following the date of receipt of a position redescription.
2. Departmental personnel offices may process and approve retroactive effective dates for classification actions. Such effective dates must be processed and approved in accordance with HRD Policy 200.003, *Effective Dates*, and the Instructions for Completing the Position Action Form (HRD-1) for Civil Service Positions.
3. The departmental personnel office shall:
 - a) Establish procedures to assure that requests for classification actions are submitted on a timely basis in order to minimize the use of retroactive effective date provisions;
 - b) Determine that there is sufficient data to support the retroactive effective date;

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- c) Assure that the retroactive effective date is in conformance with applicable laws, rules and policies, and when applicable, that the employee in the position was performing the assigned duties and responsibilities; and
- d) Include on the HRD-1, classifier's report or other documentation which is submitted to HRD, data in sufficient detail to support the retroactive effective date, including procedures taken to prevent the reoccurrence of the situation requiring the retroactivity.

F. SELECTIVE CERTIFICATION REQUIREMENTS

Employing departments are delegated authority to approve certain types of selective certification requirements in accordance with HRD Policy 200.005, *Selective Certification*, and established procedures. Delegation to take action on such requirements will depend on the nature and kinds of cases and may vary from department to department.

G. JOB RELATED DESIRABLE QUALIFICATIONS

- 1. Employing departments are delegated authority to approve job related desirable qualifications. Job related desirable qualifications must be related to duties and responsibilities identified in the Position Description and the knowledge, skills and abilities required to perform such duties and responsibilities.
- 2. Departmental personnel offices shall review and approve job related desirable qualifications in accordance with established procedures.
- 3. Job related desirable qualifications shall be documented and approved by the appointing authority subject to post audit review by the Department of Human Resources Development. DHRD Template 23 should be used for this purpose (available on DHRD website).

H. CLASSIFICATION ADMINISTRATIVE REVIEWS

The departmental personnel office shall:

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1. Conduct all administrative reviews on delegated classification actions;
2. Review the request for administrative review to determine whether the action conforms with the requirements for classification administrative reviews (e.g., facts and duties cited in the request are not in conflict with the facts/duties set forth in the position description and/or the initial review, request was submitted on a timely basis);
3. Conduct necessary fact-finding to ensure that proper procedures were followed and that all relevant information was considered in the decision, including an on-site review, whenever possible, to understand the employee's basis for the disagreement;
4. Take the appropriate action and notify the requestor and HRD; and
5. Follow the detailed procedures in HRD Policy 200.008, *Administrative Review of Classification Actions for Civil Service Positions*.

I. CLASSIFICATION APPEALS

1. The employing department is best able to present the facts about the position as it exists within the work setting, including its relationship with other positions in the organization. HRD may, particularly if inter-agency classes are involved, be best able to indicate the implications of the requested action on the statewide operation of the system and positions in other departments. Therefore, although responsibility for defending the action rests with the employing department, HRD will assist, if requested by the employing department, in preparing and submitting the employer's case on the appeal and share in the employer's presentation.
2. In those cases where the classification administrative review was conducted by HRD, HRD will prepare and present the classification appeal.
3. Classification appeals shall be prepared and presented in accordance with laws, rules, policies and procedures relevant to Merit Appeals Board classification appeals.

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VII. BACKGROUND

This Policy replaces Delegation Agreement, effective September 1, 1994, and replaces the Manual on Delegation of Authority issued on September 1, 1988.

VIII. AUTHORITIES AND REFERENCES

§ 76-5(a), Hawai'i Revised Statutes, *Alternatives in Providing Human Resources Program Services*

§ 76-13, Hawai'i Revised Statutes, *Specific Duties and Powers of Director*

§ 76-13.5, Hawai'i Revised Statutes, *Classification*

§ 14-1-3 (3) (A), Hawai'i Administrative Rules, *General Responsibilities of the Director*

§ 14-1-4, Hawai'i Administrative Rules, *General Responsibilities of Departments*

§ 14-1-9, Hawai'i Administrative Rules, *Delegation of Authority*

IX. ATTACHMENTS

Attachment A: Instructions for Completing the Position Action Form (HRD-1) for Civil Service Positions

Attachment B: Sample HRD-1 Form