

Prepared by the Personnel Management Office.
This is a new Administrative Procedure.

July 1982

RECRUITMENT, SELECTION AND APPOINTMENTS

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A9.570 APPOINTMENT PROCEDURE FOR BOARD OF REGENTS PERSONNEL

1. Purpose. To promulgate procedures assuring that the Board of Regents can discharge its statutory responsibility for approving faculty, research, extension, administrative, and professional and technical appointments before the appointment has been legally committed or executed.
2. References.
 - a. Administrative Procedure A9.480, Casual Appointments
 - b. Administrative Procedure A9.540, Appointment of Faculty and APT
 - c. Administrative Procedure A9.550, Appointment of Graduate Assistants
 - d. Administrative Procedure A9.630, Service Beyond Age 70
 - e. Administrative Procedure A9.560, Appointment of Lecturers and Cooperating Teachers
 - f. Administrative Procedure A9.900, EEO/AA In Recruitment and Selection
 - g. Administrative Procedure A9.905, Policies and Procedures on Affirmative Action Plan for Veteran and Handicapped
 - h. Administrative Procedure A9.500, Residency Requirements for Public Employment
3. Authority. No final appointment commitment or formal contractual arrangement can be made with any candidate until the Board of Regents has authorized it or until approved by the person(s) who
 - a. Graduate Assistants - Chancellor UHM and further delegated to the Dean of the Graduate Division.

- b. Lecturers - Chancellors appointments below rank 4 (may be redelegated per Executive Policy E9.104)
 - c. Cooperating Teachers and Counselors - Chancellors with authority to further delegate to the Dean of the College of Education (UHM) and the Dean of Arts and Sciences, UHH.
4. Applicability/Responsibility. This directive applies to all University activities for Board of Regents' appointment, regardless of source of funds. The appointing authority must insure that all appointments be made in accordance with this instruction and the appropriate References listed above.
5. Procedure.
- a. Appointment recommendations for faculty and APT personnel must be submitted in time to be acted upon by the Board before the proposed effective date of the appointment. Appointment recommendations for the fall semester must be submitted in time to be acted upon at the Board's July meeting. Appointment recommendations for the spring semester must be submitted in time to be acted upon at the Board's December meeting.
 - b. Recommendations for faculty or APT appointments are to be made using the form SF-5B.
 - 1) The prospective appointee is not to sign the SF-5B.
 - 2) The oath of loyalty and the federal and state tax withholding forms are to be submitted with the SF-5B. Aliens may request a waiver of oath of loyalty under Section 85-34, HRS.
 - 3) The University Personnel Office will release a copy of the SF-5B for payroll action immediately upon approval of the appointment and distribute the remaining copies as required. The employee is to be given a copy of the SF-5B upon receipt of the approved copy.
 - 4) It is the responsibility of each Chancellor or his designee to insure that all personnel forms are completed. It is preferable that all personnel forms accompany the SF-5B but this may not be

feasible in some instances.

Two checklists are therefore established: Checklist A, Attachment I, lists those documents which must accompany the SF-5B which recommends an appointment; Checklist B, Attachment 2, lists those documents which may follow later but which should be completed no later than the individual's first duty day and forwarded immediately thereafter to the University Personnel Office. All forms required on each checklist should be forwarded together to avoid unnecessary administrative work.

- c. Appointment of Graduate Assistants and Lecturers for regular academic programs are to be made using the SF-5B. The personnel forms indicated in Checklist C Attachment 3, must accompany the SF-5B. The SF-5B should be submitted as far in advance of the effective date of appointment as possible but, in any event, no later than the first work day of the employee. Refer to Administrative Procedures A9.550 and A9.560 for appointment criteria.
 - d. Continuing Education and Summer Session Lecturers and Cooperating Teachers and Counselors are to be appointed using the UH Form 6 (PERS). The Form 6 should be submitted as far in advance of the effective date of appointment as possible but, in any event, no later than the first work day of the employee. The personnel forms required and the limitations for these types of appointments are contained in Administrative Procedure A9.480, Casual Appointments.
6. Exception Procedure. In the event of circumstances such as unforeseen operational requirement or the unexpected loss of a faculty member, the President or his authorized representative(s) may make an exception to the requirement for advanced Board approval for faculty and APT personnel. Each exception will have to be justified as truly exceptional and will require the written approval of the President or his designee(s).* A request for exception should be in memorandum form and must accompany the SF-5B. The appointment must be approved before the individual is permitted to begin work.
 7. Routing. The SF-5B or UH Form 6 (PERS) is to be processed through normal administrative channels for the type of appointment being effected. Chancellors are to prescribe

the channels appropriate for their operations. As a minimum, the University Personnel Office requires the signature of the Chancellor or his designee.

8. Effective Dates of Appointment.

- a. APT and 11-month Faculty Appointments: APT and 11-month faculty appointments shall be effective no earlier than the date of approval unless retroactivity has been specifically authorized.
- b. Nine-month faculty appointments: The duty period of nine-month faculty shall be as prescribed in the Unit 07 agreement as follows:

"Instructional Faculty Members in the I (Instructional) and C classifications are on duty for nine months of continuous service, with salary paid over a twelve-month period. The beginning and ending dates for the duty period for each campus will be determined by the University provided that the beginning date shall be between August 15 and September 15, except that Faculty whose duties are other than classroom instruction may be assigned a duty period beginning two weeks earlier than the calendar established for the campus."

- c. New appointees are expected to be available for duty during the period stated in the policy to be entitled to the full year's salary. A new appointee shall not be paid for a full year's salary unless he/she is available for duty on the first activity day indicated on the respective campus' official academic calendar. The same principle applies to spring semester hires. The academic calendar governs the latest date on which the faculty member must be available for duty to be entitled to a full semesters' salary.

*As designated by delegation of authority of the President.

CHECKLIST A
PERSONNEL PROCESSING, BOR PERSONNEL

A9.570

NAME _____ TITLE _____
 EFFECTIVE DATE _____ FTE _____ POSITION NO. _____

The following personnel forms or documents must be submitted with the appointment recommendation SF-5B to the University of Hawaii Personnel Office, Faculty Records Office.

Use a check mark (✓) to indicate that the forms have been completed and are attached.

F O R M S	FACULTY	APT
Oath of Loyalty (note #1)	_____	_____
Employees' Withholding Exemptions & Status Certificate Hawaii Form HW-4	_____	_____
Employees' Withholding Exemption Certificates: U.S. Treasury Form W-4	_____	_____
U.S. Treasury Form W-5 (optional; W-4 also required)	_____	_____
Faculty Vitae or APT Resume	_____	_____
SF-1 or for UH Manoa - Vacant faculty position, Attach UHM-4	_____	_____
UH Form 17 (A9.900)	_____	_____
Department of Labor Form UC-BP-5 (A9.800)	_____	_____
UH Form 20 (note #3)	_____	_____
Certification of Residency (Attachment C - A9.500) (note #4)	(NA)	_____
Hawaii Public Employees Health Fund Enrollment, Application Form E-1 (note #5)	_____	_____
Medical Plan Ins. Deduction Authorization Form, D-63, Health Fund (note #5)	_____	_____
Faculty Appt Info Sheet (Immig Status of Foreign Nationals) (note #6)	_____	_____
Date of Tuberculosis Clearance _____	(2)	(2)

- (1) Execution of the Oath of Loyalty is a condition of employment as stated in Section 85-32, HRS. Aliens may waive Oath of Loyalty, Section 85-34 HRS.
- (2) Retain clearance document in hiring unit.
- (3) Required only when supervisory subordinate relationship will exist between supervisor and employee. Indicate "NA" if not applicable.
- (4) Required for new APT employees only.
- (5) Must be executed and in University Personnel Office within 31 calendar days of effective date of appointment. Eligibility: appointments of half time or more and at least three months' duration.
- (6) Required for non-citizen employees only.

SUBMITTED BY _____ DATE _____
 DEPT./UNIT _____ TELEPHONE _____

CHECKLIST B
PERSONNEL PROCESSING, BOR PERSONNEL

A9.570

NAME _____ TITLE _____
EFFECTIVE DATE _____ FTE _____ POSITION NO. _____

The following personnel forms must be completed and forwarded to the University Personnel Office no later than the individual's first duty day. They may be completed earlier and submitted with the SF-5B and Checklist A forms.

Use a check mark (✓) to indicate that the forms have been completed and are attached.

If Checklist B and the forms are not sent with the SF-5B, send them directly to the Faculty Records Office. Do not separate forms from checklist.

F O R M S	FACULTY	APT
Xerox Copy of Social Security Card	_____	_____
Personnel Record Card - University of Hawaii	_____	_____
UH Bio-Bibliography	_____	N/A
Employees' Designation of Beneficiary - State of HI	_____	_____
Employees' Retirement System - State of HI, Form 1-A (note #1)	_____	_____
Salary Assignment/Cancellation - State of HI, Form D-60 Bank Assignment	_____	_____
Employees' Claim for Prior Creditable Service	_____	_____
Vacation Addendum (see A8.950)	_____	_____
Ethnic Background Form	_____	_____
Lifesavers Club Application (Optional).....	(5)	(5)
Hawaii Public Employees Health Fund Enrollment, Application Form E-1 (notes #2 and #4)	_____	_____
Medical Plan Ins. Deduction Authorization Form, D-63 Health Fund (notes #3 and #4)	_____	_____

- (1) If appointment is 50% FTE or more and appointment period is more than 3 months.
- (2) If appointment is for 50% FTE or more and appointment period is at least 3 months or longer.
- (3) A Form D-63 is required for the Health Fund when the appointee enrolls in the medical plan. The Form D-60 is used for assigning net salary to a bank.
- (4) Also on Checklist A and included here for follow-up. If submitted with Checklist A, so indicate.
- (5) Send to Unit Coordinator for Lifesavers Club.

SUBMITTED BY _____ DATE _____
DEPT/UNIT _____ TELEPHONE _____

CHECKLIST C
PERSONNEL PROCESSING, GRADUATE ASSISTANTS AND LECTURERS

A9.570

NAME _____ TITLE _____
EFFECTIVE DATE _____ FTE _____ POSITION NO. _____

The following personnel forms or documents must be submitted with the appointment recommendation SF-5B to the University of Hawaii Personnel Office, Faculty Records Office.

Use a check mark () to indicate that the forms have been completed and are attached.

F O R M S	GRADUATE ASSISTANTS	LECTURERS
Xerox Copy of Social Security Card	_____	_____
Oath of Loyalty (note #1)	_____	_____
Employees' Withholding Exemptions & Status Certificate Hawaii, Form HW-4	_____	_____
Employees' Withholding Exemption Certificates: U.S. Treasury Form W-4	_____	_____
U.S. Treasury Form W-5 (optional; W-4 also required).....	_____	_____
UH Form 17 (A9.900) (Grad. Div. will return to Dept. after review).....	_____	(NA)
Department of Labor Form UC-SP-5 (A9.800)	_____	_____
UH Form 20 (note #3)	_____	_____
Faculty Appt Info Sheet (Immig. Status of Foreign Nationals) Note #7	(NA)	_____
Hawaii Public Employees Health Fund Enrollment Application, Form E-1 (note #4)	_____	_____
Medical Plan Ins. Deduction Authorization Form, D-63, Health Fund (note #4).....	_____	_____
Personnel Record Card - University of Hawaii	_____	_____
Employees' Designation of Beneficiary - State of HI	_____	_____
Employees' Retirement System - State of HI, Form 1-A (note #5).....	(NA)	_____
Salary Assignment/Cancellation - State of HI, Form D-60, Bank Assignment	_____	_____
UH Personnel Data Form	_____	_____
Ethnic Background Form	_____	_____
Lifesavers Club Application (optional).....	(6)	(6)
Tuberculosis Clearance (A9.520)	(2)	(2)
Appointee has been informed of conditions of employment (A9.550 for Graduate Assistants and A9.560 for Lecturers) to include time and method of payment.....	_____	_____

- (1) Execution of Oath of Loyalty is a condition of employment as stated in Section 85-32, HRS. Aliens may waive Oath of Loyalty, Section 85-34 HRS.
- (2) Retain clearance document in hiring unit.
- (3) Required only when supervisory subordinate relationship will exist between supervisor and employee. Indicate "NA" if not applicable.
- (4) Must be executed and in University Personnel Office within 31 calendar days of effective date of appointment. Eligibility: appointments of half time or more and at least three months' duration.
- (5) If appointment is 50% FTE or more and appointment period is more than 3 months, except Graduate Assistants.
- (6) Send to Unit Coordinator for Lifesavers Club.
- (7) Required for non-citizen employees only.

SUBMITTED BY _____ DATE _____
DEPT./UNIT _____ TELEPHONE _____