

Jeffrey Iida
Chair

Vonnell Ramos
Vice Chair

Members:
Fely Faulkner
Richard Jose
Beth Tokioka
Ricky Watanabe

RECEIVED

COUNTY OF KAUAI CIVIL SERVICE COMMISSION
NOTICE OF TELECONFERENCE MEETING AND AGENDA

Tuesday, August 4, 2020
3:00 p.m. or shortly thereafter

20 JUL 28 AM 51

Microsoft Teams Phone Number: 1-469-848-0234
Conference ID: 870 386 643#

OFFICE OF
THE COUNTY CLERK
COUNTY OF KAUAI

This meeting will be held via Microsoft Teams teleconference only. Members of the public are invited to join the open session meeting by calling the phone number above and when prompted enter the conference ID information. You may testify during the teleconference or submit written testimony in advance of the meeting via e-mail, fax, or mail. To avoid excessive noise/feedback, please mute your phone and unmute to testify.

CALL TO ORDER IN OPEN SESSION (Open to the Public)

ROLL CALL

PUBLIC COMMENTS AND TESTIMONY

Individuals may orally testify on any agenda item at this time.

Anyone interested in providing oral or written testimony shall provide a request to the Office of Boards and Commissions prior to the day of the meeting to smuragin@kauai.gov or by fax (808) 241-5127, or mailed to: Civil Service Commission, Office of Boards and Commissions, Pi'ikoi Building, 4444 Rice Street, Suite 300, Lihue, HI 96766. This request shall include your name, telephone number, E-mail address, and the specific agenda item(s) that you will be testifying on or provided comments on. Any testimony received after this time will be incorporated into the record as appropriate.

APPROVAL OF MINUTES

A. Open Session Minutes of July 7, 2020

DIRECTOR'S REPORT

CSC 2020-18

Director's Report for the June/July 2020 period.

A. HRMS Project

An Equal Opportunity Employer

- B. Review and Comparison of Current Procedures with those from Audit Years.
- C. Work Schedule
- D. Collective Bargaining
- E. Documentation Retention and Maintenance Policy
- F. Administrative Services and Benefits
- G. Employee Development and Health Services
- H. Classification and Pay and Labor Relations
- I. Recruitment and Exam
- J. Payroll
- K. EEO/ADA
- L. Attachment A: Department of Human Resources Policy Changes Since 2015 Audit
- M. Attachment B: Number of County Employees as of June 30, 2020
- N. Attachment C: COK Department of Human Resources Internal Policy and Procedures – Human Resources Document Retention & Destruction, Document Number 2020-000, Revision Number/Date 001/July 2020

CSC 2020-19 Review and possible decision-making on the first draft of substantive and non-substantive amendments to the Rules of the Civil Service Commission/Merit Appeals Board document.

CSC 2020-20 Review and possible decision-making on the first draft of amendments to the Rules of Appeal to the Civil Service Commission/Merit Appeals Board form.

EXECUTIVE SESSION

Pursuant to Hawai'i Revised Statutes §§92-4, 92-5 (a) (2) (4), 92-9 (a) (1-4) and (b), 76-47 (e) the purpose of this Executive Session is to receive and approve Executive Session minutes, to consider the hire, evaluation, dismissal or discipline of an employee or officer of the County where consideration of matters affecting privacy will be involved; and to consult with the Commission's legal counsel on questions and issues pertaining to the Commission's and County's powers, duties, privileges, immunities, and/or liabilities as they may relate to this item, deliberate and take such action as appropriate.

ENTER INTO EXECUTIVE SESSION (Closed to the Public)

Disconnect from Open Session and enter into Microsoft Teams Teleconference in Executive Session.

CALL TO ORDER IN EXECUTIVE SESSION (Closed to the Public)

ROLL CALL

ES-016

Executive Session Minutes of July 7, 2020

ES-017

Director of Human Resources Performance Evaluation (on-going).

- A. Review updated DHR Performance Evaluation.
- B. Review and possible decision-making on the first draft of amendments for the on-going performance evaluation form.
- C. Review and possible decision-making on use of the 360 evaluation.
- D. Discussion on other related matters.

RETURN TO OPEN SESSION

Disconnect from Executive Session and enter into Microsoft Teams Teleconference in Open Session.

CALL TO ORDER IN OPEN SESSION (Open to the Public)

ROLL CALL

RATIFY ACTIONS

Ratify the actions taken by the Civil Service Commission in executive session for agenda item: ES-016 and ES-017.

ANNOUNCEMENTS

Next Meeting: Tuesday, September 1, 2020 – 3:00 p.m., Teleconference by Microsoft Teams

ADJOURNMENT

NOTICE OF EXECUTIVE SESSION

Pursuant to Hawaii Revised Statutes §92-7 (a), the Commission may, when deemed necessary, hold an executive session on any agenda item without written public notice if the executive session was not anticipated in advance. Any such executive session shall be held pursuant to HRS §92-4 and shall be limited to those items described in HRS §92-5(a).

cc: Deputy County Attorney Mark Ishmael

PUBLIC COMMENTS and TESTIMONY

SPEAKER REGISTRATION

Prior to the day of the meeting: Persons wishing to testify are requested to register their name, phone number and agenda item via email to: smuragin@kauai.gov or call 808-241-4919.

On the day of the meeting: Persons who have NOT registered to testify by the time the meeting begins will be given the opportunity to speak on an item following oral testimony from registered speakers.

Each speaker is limited to a three-minute presentation on each item.

WRITTEN TESTIMONY

Prior to the day of the meeting: Testimonies may be emailed: smuragin@kauai.gov, faxed: 808-241-5127, or mailed: Civil Service Commission, Office of Boards and Commissions, Pi'ikoi Building, 4444 Rice Street, Suite 300 Lihue, HI 96766. Please include your name and if applicable, your position/title and organization you are representing along with the agenda item that you are providing comments on.

While every effort will be made to copy, organize and collate all testimony received, materials received improperly identified may be distributed to the members after the meeting is concluded.

SPECIAL ASSISTANCE

If you need an auxiliary aid/service, other accommodation due to a disability, or an interpreter for non-English speaking persons, please contact the Office of Boards and Commissions at (808) 241-4917 or asegreti@kauai.gov as soon as possible. Requests made as early as possible will allow adequate time to fulfill your request. Upon request, this notice is available in alternate formats such as large print, Braille, or electronic copy.

SUBJECT	DISCUSSION	ACTION
Testimony		
Approval of Minutes	A. Open Session Minutes of June 2, 2020	Ms. Faulkner moved to approve the Open Session minutes of June 2, 2020, as circulated. Ms. Tokioka seconded the motion. Motion carried 4:0.
Director's Report	<p><u>CSC 2020-15</u> <u>Director's Reports for the May/June 2020 period.</u></p> <ul style="list-style-type: none"> A. HRMS Project B. COVID-19 and Stay at Home Order C. Collective Bargaining D. Documentation Retention and Maintenance Policy E. Administrative Services and Benefits F. Employee Development and Health Services G. Classification and Pay and Labor Relations H. Recruitment and Exam I. Payroll J. EEO/ADA <p>Human Resources Director Annette Anderson reviewed the May/June report with the Commission (on file).</p> <p>Human Resources Management System (HRMS) Project: Ms. Anderson reported that on May 28, 2020 a pre-proposal conference via Microsoft Teams was held to allow interested vendors an opportunity to provide questions for additional details regarding the request for proposal (RFP) process. They have also established a Selection Committee that would review submitted RFP's. Ms. Anderson explained that up until June 19, vendors were allowed to submit written inquiries. They received 31+ inquiries; which are being reviewed and responded to. She said they are pleased with the number of interested vendors and the process has been moving forward meeting all deadlines. The deadline to submit an RFP is Thursday, July 9.</p>	

SUBJECT	DISCUSSION	ACTION
	<p>COVID 19 and Stay at Home Order: Ms. Anderson reported that the HR staff continue to telework and have been productive in meeting deadlines and completing required task. The daily Teams meeting has made improvements and resolved several problems on routine assignments. Overall, she was pleased with how her staff has adjusted to these changes.</p> <p>Collective Bargaining: Ms. Anderson reported that Unit 14 Ocean Safety Officers are up for committee hearing at the County Council tomorrow with a final reading this month. The Legislators have approved funding for all HGEA bills and was now pending action by Governor Ige, who has up until September to decide to sign, veto or not sign. All the jurisdictions have come up with proposals on future contracts and bargaining proposals and submitted to HGEA. The jurisdictions have mutually agreed to wait before starting any new bargaining or contract negotiations.</p> <p>Department Retention and Maintenance Policy: Ms. Anderson reported that one of the audit citations noted was the lack of a sufficient document retention maintenance policy. She said there was a seven-year retention policy that was followed by all the departments and governed by HRS §46-43 and Kauai County Council Resolutions No. 2008-39 and 2016-2. She proposed to create a HR policy statement for personnel documents kept by HR that would be retained for seven years. The only exception was for the State of Hawaii Employees Retirement System and Workers Compensation claims that required a retention period of 30 years.</p> <p>Payroll: Ms. Anderson reported that HR was centralizing payroll and taking over payroll processing for the county. They recently hired a Payroll Technician to process payroll from Parks & Recreation in June and the next step was to train a payroll employee on the complicated processing of Kauai Police Departments payroll. They plan to assume payroll processing</p>	

SUBJECT	DISCUSSION	ACTION
	<p>from Finance department in August.</p> <p>Ms. Tokioka thanked Ms. Anderson for her quick action in addressing one of the audit citations. She inquired if funds appropriated for the HRMS project was encumbered and still available in this new fiscal year. Ms. Anderson replied that there were no changes and funds were still available. Ms. Tokioka then suggested that she consider placing someone from another department on her selection committee, to get a broader perspective. She worried that the committee which consisted of HR personnel would narrow their ability to seek a system that would be inclusive of the needs of the entire County. Ms. Anderson said that due to the high technical aspects of the HRMS system they have the IT department involved.</p> <p>With no further questions, Ms. Anderson disconnected from the Teams meeting.</p>	
<p>Business</p>	<p><u>CSC 2020-16 Discussion and possible decision-making on identifying and proposing substantive and non-substantive amendments to the Rules of the Civil Service Commission/Merit Appeals Board document.</u></p> <ul style="list-style-type: none"> A. Update Office of Boards and Commissions address. B. Change Department of Personnel Services to Department of Human Resources. C. Change Director of Personnel Services to Director of Human Resources. D. Possible discussion on the addition of a Subchapter 7 Rules on the Selection, Evaluation and Dismissal of the Director of Human Resources. <ul style="list-style-type: none"> a. Overview to amend rules. b. Review past discussions from approved minutes dated 2014-2016. c. Review Police Commission and Planning Departments Selection, Evaluation and Dismissal outline. E. Discussion on other related matters. <p>Ms. Tokioka inquired about section D. and asked why it was placed on the agenda. Chair Iida explained that Subchapter 7 Rules on the Selection, Evaluation and Dismissal of the Director of Human Resources was deferred back in 2016. No decision was finalized, and it</p>	

SUBJECT	DISCUSSION	ACTION
	<p>needed to be cleared up. Commission Support Clerk Sandra Muragin explained that since the rules needed to be amended with the new address for Boards and Commissions now would be the time to bring this before the Commission if they choose to include this in their rules. Administrator Ellen Ching recommended the commission delete the address of Boards and Commissions in sections 1-4 and 1-20. Ms. Ching volunteered to work with two commissioners or a permitted interaction group to scrub through the rules and implement changes.</p> <p>Ms. Ching commented that they would take care of making the necessary changes to the rules and present it to the commission for their approval at the next meeting. Deputy County Attorney Mark Ishmael said that regardless of whether the changes were non-substantive or substantive any change to the rules would require a public hearing as outlined in HRS 91-3.</p> <p>Chair Iida asked the commission on their thoughts about item D. Ms. Tokioka agreed to the non-substantive changes as noted in A, B and C to clean up the document but did not agree with adding D. Ms. Tokioka felt that the process developed in the recent hiring of Annette Anderson worked well and it should be documented for future commissions as an reference. Chair Iida said that implementing guidelines or changing the rules was one of the issues that the previous commission could not decide. Ms. Faulkner and Vice Chair Ramos both agreed with Ms. Tokioka.</p> <p>Chair asked about the process involved in creating a guidelines. Ms. Tokioka suggested it</p>	<p>Ms. Tokioka moved to approve amendments to the Rules of the Civil Service Commission/Merit Appeals Board document pursuant to items A, B and C as noted in agenda item CSC 2020-16. Vice Chair Ramos seconded the motion. Roll Call Vote: 4-Ayes and 0-Nays. Motion carried 4:0.</p> <p>Ms. Tokioka moved to receive with no further action item D as noted in CSC 2020-16.</p>

SUBJECT	DISCUSSION	ACTION
	<p>could be presented at a future meeting and received as part of the official records for reference at a later time.</p>	<p>Vice Chair Ramos seconded the motion. Roll Call Vote: 4-Ayes and 0-Nays. Motion carried 4:0.</p>
	<p><u>CSC 2020-17</u> Discussion and possible decision-making on editing the content of the Rules of Appeal to the Civil Service Commission/Merit Appeals Board form.</p> <ul style="list-style-type: none"> A. Update Office of Boards and Commission address. B. Add information to receive an email address. C. Possible discussion to amend form and rules to allow online submission. D. Discussion on other related matters. <p>Ms. Tokioka wanted feedback on the benefits of creating an online form or continue with the same process. Ms. Ching commented that Boards and Commissions implemented an effort to change processes to online, prior to COVID-19. Since then it has become more apparent and beneficial to minimize paper and face to face contact. Ms. Ching said the office has made a huge effort to make everything online, with scanning of files and minimizing paper storage. Ms. Tokioka appreciated the explanation and wanted to support the efforts to decrease paper records.</p> <p>Ms. Ching asked if the commission wanted a working group of one or two commissioners or a permitted interaction group with three commissioners. Chair Iida and Commission Tokioka volunteered to be on the working group.</p>	<p>Ms. Tokioka moved to adopt A and B in CSC 2020-17 and volunteered to be part of a working group to implement C. Vice Chair Ramos seconded the motion. Roll Call Vote: 4-Ayes and 0-Nays. Motion carried 4:0.</p> <p>Ms. Faulkner motioned to approve forming a working group to discuss and implement C. Vice Chair Ramos seconded the motion. Roll Call Vote: 4-</p>

SUBJECT	DISCUSSION	ACTION
	<p>Ms. Ching asked for a clarification to name the commissioners who would be part of the working group.</p>	<p>Ayes and 0-Nays. Motion carried 4:0.</p> <p>Ms. Faulkner motioned to amend her motion that the working group included Chair Iida, Commissioner Tokioka and Administrator Ellen Ching. Vice Chair Ramos seconded the motion. Roll Call Vote: 4-Ayes and 0-Nays. Motion carried 4:0.</p>
<p>Executive Session</p>	<p>Chair Iida requested Administrator Ellen Ching read the Hawaii Revised Statutes to move the meeting into Executive Session.</p> <p>Pursuant to Hawai‘i Revised Statutes §§92-4, 92-5 (a) (2) (4), 92-9 (a) (1-4) and (b), 76-47 (e) the purpose of this Executive Session is to receive and approve Executive Session minutes, to consider the hire, evaluation, dismissal or discipline of an employee or officer of the County where consideration of matters affecting privacy will be involved; and to consult with the Commission’s legal counsel on questions and issues pertaining to the Commission’s and the County’s powers, duties, privileges, immunities, and/or liabilities as they may relate to this agenda item and take such appropriate action.</p>	<p>Ms. Tokioka moved to enter into Executive Session. Ms. Faulkner seconded the motion. Motion carried 4:0.</p> <p>The commission and staff disconnected from open session at 3:47 p.m. and connected into executive session.</p>

SUBJECT	DISCUSSION	ACTION
Return to Open Session	Chair Iida, Vice Chair Ramos, Commissioner Tokioka, Deputy Attorney Mark Ishmael, Human Resources Director Annette Anderson, Administrator Ellen Ching and Commission Support Clerk Sandra Muragin were logged onto Microsoft Teams by video. Commissioner Faulkner called into Microsoft Teams and entered the meeting by audio.	
Call To Order In Open Session /Roll Call	<p>Chair Iida called the meeting back to order in open session at 4:19 p.m. and requested a roll call.</p> <p>Commission support clerk Sandra Muragin verified attendance by roll call and requested a verbal response of present or here; Commissioner Faulkner replied present. Commissioner Tokioka replied here. Vice Chair Ramos replied here. Chair Iida replied here. Deputy County Attorney Mark Ismael replied here. Administrator Ellen Ching replied here. Commission Support Clerk Sandra Muragin replied here.</p>	<p>Quorum was established with four commissioners present.</p>
Ratify Actions	Ratify actions taken by the Civil Service Commission in executive session for agenda items: ES-013, ES-014 and ES-015.	Ms. Faulkner moved to ratify the actions taken in Executive Session for agenda items ES-013, ES-014 and ES-015. Vice Chair Ramos seconded the motion. Roll Call Vote: 4-Ayes and 0-Nays. Motion carried 4:0.
Announcements	Next Meeting: Tuesday, August 4, 2020 – 3:00 p.m., Teleconference by Microsoft Teams	
Adjournment	With no further business to conduct, Chair Iida called for a motion to adjourn the meeting.	Ms. Faulkner moved to adjourn the meeting. Vice Chair Ramos seconded the motion. Motion carried 4:0

SUBJECT	DISCUSSION	ACTION
		Chair Iida adjourned the meeting at 4:21 p.m.

Submitted by: _____ Reviewed and Approved by: _____
Sandra Muragin, Commission Support Clerk Jeffrey Iida, Chair

- Approved as circulated.
- Approved with amendments. See minutes of _____ meeting.

DEPARTMENT OF HUMAN RESOURCES
DIRECTOR'S REPORT
TO THE
CIVIL SERVICE COMMISSION

AUGUST 4, 2020 MEETING

Report Covering June/July 2020

HRMS Project:

- The deadline for submission of proposals was Monday, July 13, 2020 (previously July 9, 2020). Eight (8) proposals were received. [Goal 4, Obj. A.1-3. and Goal 5, Obj. A. 3—completed]
- At suggestion of Civil Service Commission at July 2020 meeting, we will add another individual from a different department to work with Selection Committee to review submitted proposals, seek clarification, and pose questions to the potential vendors, among other things. [Goal 4, Obj. A.1-3. and Goal 5, Obj. A. 3—completed]

Issue RFP (Legal Notice).....	May 14, 2020
Pre-Proposal Teleconference.....	9:00 a.m. HST, May 28, 2020
Deadline for Written Inquiries.....	June 19, 2020
PROPOSAL DUE DATE.....	July 13, 2020
Tentative Priority-List Vendor Notification.....	Week of July 27, 2020
Tentative Vendor Demonstrations.....	Week of August 31, 2020
Tentative Award Date.....	October 2020

After purchase of the system in the fall of 2020, implementation is anticipated to commence either in the 4th quarter of 2020 or the first quarter of 2021. Per BerryDunn, systems of this scope and size generally take 12 to 18 months to fully implement and train employees on all aspects of the multi-faceted system.

Review and Comparison of Current Procedures With Those From Audit Years.

See Attachment A. The table identifies 17 different procedures that have been changed or updated since the first audit of the Department of Human Resources in 2015. All have resulted in vast improvements. This process of review and comparison is on-going. As I learn more about the details of our work procedures, I ask questions, make suggestions for change, and engage with the employees to work through various options for ways to continually improve our services. [Goal 1, Obj. A.1.-3.—completed]

Procedure 4. on Attachment A addresses the current procedure, which shows that proper procedures are now in place regarding recruitment of positions exempt from civil service. [Goal 3, Obj. A.1-2.—completed]

CSC 2020-18

See Attachment B. The chart provides a breakdown of all positions in each Department and identifies the type of position. The “Permanent” column reflects civil service positions. The “Temporary,” “Exempt,” and “Contract” columns reflect non-civil service positions. [Goal 3, Obj. A.1.-3.—completed]

Work Schedules:

- The Mayor’s Advisory #5 regarding 4-10 schedules terminates on July 27, 2020 in order to allow for a week of transition before schools reopen on August 4, 2020. Department Heads will work with the staff to determine appropriate work schedules, and to assure that services to the public can be maintained. Employees who are HGEA members will reach out to their union representative. In addition, Department Heads will review whether teleworking should continue.
- After soliciting HR employees’ preferences regarding work schedules and teleworking and meeting with the division heads/supervisors, it was determined that the vast majority of HR employees will telework, although some will return to the office on certain days when the office setting allows for printing and filing, etc. Most HR employees will continue a 4-10 schedule, although staggered scheduling will allow HR to be open to the public five days a week, by appointment. Virtually all preferences sought by HR employees will be accommodated, and thus the HR employees are very pleased. [Goal 6, Obj.A.3.—completed]
- HRD will continue to monitor the success of teleworking, as well as the 4-10 schedules, and, if necessary, make adjustments. Employees have the option of periodically returning to the office when needed to perform their duties. All divisions will continue daily Teams meetings to review issues, provide guidance, and support the employees. [Goal 7, Obj. A. 1-3--completed]

Collective Bargaining:

- HGEA BU 14 (Ocean Safety Officers and Law Enforcement Officers) arbitration award funding bill was approved by Council on July 22, 2020.
- Status of Legislative approval of funding of HGEA BUs 2, 3, 4, 13, and 14:
 - The Legislature approved the funding. The bills are now awaiting Governor’s approval (or no sign equals approval) or veto. He has until September 15, 2020 to act.
- The employer jurisdictions are having regular Teams meetings to discuss upcoming negotiations with HGEA for successor agreements commencing July 1, 2021. Proposals with HGEA were exchanged on June 30, 2020. The other unions are postponing exchange of proposals on a month-to-month basis.

Document Retention and Maintenance Policy:

- A draft Human Resources Document Retention & Destruction policy has been created. The policy has been sent to the County Attorney for review and approval. See Attachment C. [Goal 2, Obj. B, 1—met and ongoing]

Administrative Services and Benefits:

- There were 152 employees participating in the annual Flexible Spending Open Enrollment. This is consistent with last year’s totals where we had 150 employees sign up. Of the 152

employees, 135 enrolled in the medical expense reimbursement plan only, 10 enrolled in both medical expense and dependent care reimbursement plans, and 7 enrolled in dependent care only.

- Voluntary Insurance Enrollments with Allstate for enrollments effective July 1, 2020: 19 Cancer Insurance, 13 Critical Illness, 6 Hospital Indemnity, and 8 Accident Insurance plan enrollments processed.
- New Hires
 - 3 Senior Clerks
 - 3 Fire Fighter Trainee
 - 3 Park Security Officer Is
 - 3 Park Caretaker Is
 - 2 Emergency Services Dispatcher Is
 - Solid Waste Worksite Supervisor
 - Payroll Technician
 - 2 Bus Drivers-Substitute (exempt)
 - 3 Van Drivers-Substitute (exempt)
 - Election Clerk II (exempt)
 - Clerk Dispatcher I (exempt)
 - Mechanic Helper (exempt)
 - 66 Seasonal Hires (exempt)

Clarification: Exit Interviews are done for all employees except short-term 89-day hires who are at-will and employees who are terminated for misconduct by the County.

- Exit Interviews (Retirees): 3 of 3
- Exit Interview (Voluntary Separations/Terminations) 1 of 3

- TDI Applications 1 (denied)
- Family Leave: 4 (approved)
- Leave Sharing: 2 (approved)
- Reference Checks: 1
- Employment Verifications: 9
- Transactions (i.e., Payroll Certification forms processed):

New Hires	20
Separations	12
Reallocations	4
Promotions	5
Demotions	0
Transfers	0
Pay Increase	1
Suspension	0
Leave Without Pay	0
*Misc. Change Forms	33
**Other	29
89-Day	52
Seasonal	68

- *Miscellaneous Change Forms include expense distribution changes, schedule changes, personal data changes, etc.
- **Other includes end of/extension of TR, add/delete add pay codes, amended PCs, extension of initial probation, rescinded PCs, term of contract/contract appointment PCs, etc.

Employee Development and Health Services:

- Four (4) new workers' compensation claims were filed this month; Two (2) medical-only claims, one (1) indemnity claim, and one (1) controverted claim.
- A bi-monthly review of selected workers' compensation claims was held on July 21, 2020 via WebEx meeting.
- HR employee, Equipment Operator Trainer, completed the necessary tests to obtain his CDL driver's license.
- Equipment/Driver Training: Automatic Truck Tractor (17 Public Works' employees)
Hooklift Truck (5 Public Works' employees)
Forklift (1 HR employee)
Compactor Backhoe (2 Public Works' employees)

Classification and Pay and Labor Relations:

- A grievance decision for the discipline of a UPW employee was sustained by the HR Director and the UPW union has since filed for arbitration.
- Reallocations Processed: Police Officer I to Police Services Officer (2)
Pre-Audit Clerk II to Departmental Accounting Technician
Program Specialist I to Prevention Services Specialist
Program Specialist III to Prevention Services Coordinator
Program Support Technician II to Program Coordinator
Real Property Appraiser V to Real Property Appraisal Specialist
School Crossing Guard to Background Investigator
Senior Account Clerk to Departmental Accounting Technician
- Desk Audits: None
- New Classes Adopted: Golf Course Maintenance Supervisor
- Administrative Reviews: No

Recruitment and Exam:

- New Hire Orientations held on June 16th (6), July 1st (2) and July 6th (11). Due to large number on July 6th (KPD recruits), the orientation was held at KCC to allow for social distancing.
- Due to possible budget shortfalls, the Administration has implemented a hiring moratorium until September 30, 2020 unless positions are for Council, DOW, COVID response, grant funded or exempted per the Managing Director. Continuous recruitments (11) for all positions that were outside of these exemptions were cancelled. All applicants on affected eligibility lists were notified of the hiring freeze.
- If needed, off island and out of state candidates are being allowed to test virtually to prevent unnecessary travel to our island.
- To meet social distancing requirements, started to look at ways to administer the annual Fire Fighter Trainee testing which usually attracts over 100 applicants. Normally, the applicants are divided into AM and PM testing schedules but with the new guidelines, multiple testing dates will be needed. Additionally, the Fire promotional tests which will be pushed back to November with approximately 40 employees who qualify for the FF II and FF III positions will require an additional test site/day/time to also adhere to social distancing requirements.
- Recruitments:
 - Aging and Disabilities Services Technician
 - Automotive Equipment Superintendent
 - Bus Driver (substitute) (exempt)
 - Economic Development Specialist IV (exempt)
 - Evidence Custodian Assistant (exempt)
 - Fire Accounting Specialist (exempt)
 - Grant and Budget Specialist
 - Housing and Assistance Specialist III (exempt)
 - MVR Assistant Clerk (exempt)
 - Prevention Services Coordinator (exempt)
 - Prevention Services Specialist (exempt)
 - Program Specialist I (exempt)
 - Program Specialist II
 - Program Support Technician II (exempt)
 - Real Property Appraiser I
 - Senior Clerk (exempt)
 - Sexual Assault Forensic Nurse Examiner (2) (exempt)
 - Special Projects Assistant (exempt)
 - Utility Worker
- Lists Referred to Departments:
 - Accountant II
 - Administrative Clerical Assistant (exempt)
 - Assistant Waterworks Controller
 - Bus Driver (Substitute) (exempt)
 - Economic Development Specialist IV (exempt)

Emergency Services Dispatcher I
Emergency Services Dispatcher II
Evidence Custodian Assistant (exempt)
Fire Accounting Specialist (exempt)
Housing Assistance Specialist III (exempt)
MVR Assistant Clerk (exempt)
Park Security Officer I
Pipefitter
Plant Electrician
Police Services Officer
Prevention Services Coordinator (exempt)
Prevention Services Specialist (exempt)
Program Specialist I (exempt)
Program Support Technician II (exempt)
Real Property Appraisal Specialist
Senior Pool Guard
Sexual Assault Forensic Nurse Examiner (exempt)
Special Projects Assistant (exempt)
Summer Enrichment (exempt)
West Kauai Community Plan Assistant (exempt)

- Written Exams Administered: Account Clerk
Custodial Services Supervisor
Emergency Services Dispatcher I
Pipefitter Helper
Police Services Officer
Senior Pool Guard
- Performance Exams Administered: None
- Administrative Reviews: Account Clerk (2) (1 accepted; 1 sustained)

Payroll:

- Continue plans for expanding centralized services for other departments; training is beginning with KPD, the largest and most complicated system.

Gross Payroll for June:

15th	\$	3,949,324
EOM	\$	4,087,904
EUTF ACTIVE	\$	733,967
EUTF OPEB	\$	1,436,500
EUTF RETIREE	\$	-
ERS (RETIREMENT)	\$	2,013,612
SOCIAL SECURITY	\$	302,523
MEDICARE	\$	110,550
PTS SS SAVINGS	\$	4,790

EEO/ADA

- Employee complaint with investigation in process.
- On-going ADA technical guidance provided to County employees and the public as requested, with recent emphasis on COVID-19 emergency orders.
- Respond to call (although greatly reduced volume) with complaints about State agencies; referred to appropriate State agencies
- Continue coordinating with other County coordinators regarding ADA issues arising from Covid-19 rules
- Trainings for new hires
- Relocation of office from County Attorney to HR (former Boards & Com. Office)

ATTACHMENT A

**Department of Human Resources Policy Changes
Since 2015 Audit**

Procedure	Before Audit	After Audit
1. Overall Recruitment and Hiring	Individual departments were tasked with much of the recruitment and hiring decisions.	When the Department of Human Resources (DHR) was created, duties performed at the individual department levels were transferred to DHR including reference checks, background checks, contacting applicants with conditional offers of employment, and sending out non-selection letters.
2. Skilled/Unskilled Positions	No review or controls regarding the designation of unskilled positions.	DHR revised internal procedures to ensure that all new classes of work that are created are designated as "skilled" or "unskilled" to ensure proper maintenance of positions. In addition, all positions designated as "unskilled" are reviewed annually to ensure continued designation is appropriate.
3. Application-Citizenship Language	Citizenship language on application was not clear with regards to applicants' ability to meet citizenship requirements at the time of hire.	Question added to application to ensure that applicant has read and understood citizenship requirement and acknowledges the need to meet the requirement at the time of hire (Applicant needs to be legally authorized to work in the US at the time of hire).
4. Exemption from Civil Service Recruitment	The Exemption Request Form, exempting recruitment from civil service requirements was signed and kept separately from the NEOGOV recruitment requisition.	The Exemption Request Form is now part of the NEOGOV online record. This ensures proper procedures are followed in recruitment and hiring and that all necessary forms are centralized and paperless on the NEOGOV system.
5. Grant Funded Positions	There was no documentation filed for the authorization of grant funded positions.	A new form was created for department heads to sign off stating that grant funding is available and the position is authorized for recruitment.
6. NEOGOV – Department of Water (DOW) Funding Approval	No funding approval was required for DOW recruitments.	Added funding approval for DOW recruitments to ensure position is authorized and funded to post.

Procedure	Before Audit	After Audit
7. Recruitment Above the Minimum (RAM)	For hard to fill positions, the entire salary range was included for consideration without looking at the current salaries from the private and public sector.	Recruitment staff conduct a review of salary rates (public and private) to come up with a realistic range to recruit hard to fill positions to ensure salary comparability is maintained for current and new staff.
8. Examination Admittance	Allowed applicants to take the written exam even if they were late to the starting time with whatever remaining time was left; applicant not allowed in if paper admission sheet was missing.	Testing doors are now closed at the start time and no admittance is allowed after an exam's start time. Applicants can now retrieve admission letters on cell phones and the test security agreement is given to applicants at the testing site versus the need to have to bring it to the test.
9. Interviews	DHR did not substantiate interviews done by individual departments.	Departments must use NEOGOV interview scheduling module and include the results of all interviews online into the NEOGOV system. All interviews conducted by individual departments are now reviewed by Recruitment staff to ensure that all referred eligibles are interviewed and that selection is based on the most qualified applicant. For internal recruitments, Recruitment staff review interview scores to ensure that those that are deemed relatively equal are selected by seniority based on collective bargaining agreements. Interview form was revised to include information about the definition of relatively equal applicants and the need to consider seniority for relatively equal internal applicants. Form includes formula for ease of determining relatively equal applicants.
10. NEOGOV – Classification Actions	Paper requests for classification action were	Added classification actions to NEOGOV to streamline approval process, make process paperless,

Procedure	Before Audit	After Audit
	routed via interdepartmental mail.	and centralized necessary approval forms into NEOGOV system.
11. Reallocations	Reallocations were being done without adequate documentation and without checking to see if there were others in the department also qualified for the higher level of work.	Documentation is now required from the requesting department and attached to the NEOGOV request for the reallocation. In addition, qualifications of all employees in the respective department are reviewed to determine whether a reallocation can be completed for a specific employee or whether the position must be posted to allow for promotional opportunities for the higher class of work for all employees in the department.
12. Class Specification - Gender Language	Language was gender specific.	Class specifications have been reviewed to use consistent gender neutral language.
13. Driver's License	Required at the time of filing application.	To avoid the appearance of discriminatory selection, driver's license are now required after a conditional offer of employment is made.
14. Hire Above the Minimum (HAM)	There was no standard way of calculating a starting pay for an excluded managerial EM HAM; requests were looked at individually.	Created a methodology of determining a fair and equitable starting pay for applicants utilizing education and experience over and above minimum qualification requirements along with annual within range progression (WIRP) amounts to come up with a starting pay that would be comparable to other EMs already employed for a number of years.
15. Administrative Review Process	Clarifying information not accepted by Recruitment staff prior to rejection of an applicant's submittal, In addition, new information was allowed to be submitted past the deadline during an applicant's review and at	Recruitment staff ask for clarifying information prior to rejecting an application. In addition, only information received up until the deadline in the initial review is considered during an applicant's review and for the administrative review.

Procedure	Before Audit	After Audit
	the Administrative Review step.	
16. Class Specifications – Consistent Education Requirements	Education requirements are not consistent among various series of work.	Working on updating class specification to have more consistent education requirements among the various class specifications.
17. Qualifications— Substitutions	Acceptable substitutions (education or experience) are not specified on class specifications leading to possible inconsistencies when jobs are posted.	<p>Amending all class specifications to include substitutions (education and/or experience) as part of the class specifications.</p> <p>Reviewing all class specifications to ensure consistency among like positions and levels for educational and experience requirements.</p>

ATTACHMENT B

Number of County Employees as of June 30, 2020

Department	Permanent	Temporary	Exempt	Contract	Total
Auditor's Office	0	0	0	0	0
County Attorney	5	0	9	0	14
County Clerk	7	0	26	0	33
Economic Development	0	0	8	0	8
Elderly Affairs	7	0	10	0	17
Emergency Management	4	0	1	2	7
Finance	75	2	3	1	81
Fire	192	9	1	0	202
Housing	0	0	2	26	28
Human Resources	19	0	2	0	21
Liquor	6	0	2	0	8
Mayors' Office	0	0	15	0	15
Parks & Recreation	175	0	5	0	180
Planning	22	2	2	0	26
Police	202	0	1	5	208
Prosecuting Attorney	21	2	17	0	40
Public Works	226	7	3	0	236
Transportation	0	0	107	0	107
Water	86	0	2	1	89
Total	1,047	22	216	35	1,320

Note: Permanent - Probationary and permanent employees
 Temporary - Provisional and limited term employees
 Exempt - Elected and appointed employees (excluding boards and commissions)
 Contract - Employees under personal services contract

ATTACHMENT C

	<p style="text-align: center;">County of Kaua'i Department of Human Resources</p> <p style="text-align: center;">INTERNAL POLICY AND PROCEDURES</p>
<p>Document Number 2020-000</p> <p>Revision Number/Date 001/July 2020</p>	<p style="text-align: center;">Human Resources Document Retention & Destruction</p>

PURPOSE:

The Department of Human Resources (DHR) retains and destroys official employee personnel records in accordance with applicable federal and state laws governing record retention. Below is an outline of the DHR's operating procedures for personnel record retention and destruction of documents when such retention periods have passed.

LEGISLATION/REFERENCES:

Council Resolution Number 2008-39

Council Resolution Number 2016-21

Hawai'i Revised Statutes (HRS) §46-43 (County Records)

Hawai'i Revised Statutes (HRS) §386 (Workers' Compensation Law)

Occupational Safety and Health Administration (OSHA) 1910.1020

State of Hawai'i General Records Schedule

POLICY:

In accordance with Council Resolutions 2008-39 and 2016-21, there shall be a seven (7) year minimum retention period for all hard copy or electronic personnel documents with the exception of the following documents:

- Documents pertaining to the State of Hawai'i Employees' Retirement System (ERS) shall be retained for the duration of employment plus thirty (30) years pursuant to the State of Hawai'i General Records Schedule;
- Documents pertaining to employee exposure to toxic substances and harmful agents (e.g., asbestos, blood borne pathogens) shall be retained for the duration of employment plus thirty (30) years pursuant to Part 1910.1020 of the OSHA regulations; and
- Documents pertaining to Workers' Compensation (WC) claims shall be retained for the duration of eight (8) years from the last payment of compensation pursuant to the HRS §386.

PROCEDURES:

Following termination of employment, the employee's personnel documents will be scanned and saved to Laser Fiche by termination year and employee name. The destruction of hardcopy/paper documents will follow the scanning of the documents (i.e., creation of electronic file of personnel records). Electronic records, not related to the ERS, employee exposure claims, and WC claims, shall be preserved and maintained for at least seven (7) years following the employee's date of termination of employment.

Personnel records pertaining to the ERS and employee exposure claims shall be retained for at least thirty (30) years following the employee's date of termination of employment. Personnel records pertaining to WC claims shall be retained for eight (8) years following the last payment of compensation related to the respective claim. The DHR shall require third-party administrators to follow the provisions of this policy and referenced laws.

After meeting the required retention periods and rules set forth by Council Resolutions 2008-39 and 2016-21, the destruction of personnel records shall be requested by the Director of Human Resources to the County Council as allowed per HRS §46-43. The destruction of the respective personnel records shall be subsequently coordinated by the DHR following the Council's approval of the DHR's request.

County of Kaua'i
Human Resources Department
Civil Service Commission/Merit
Appeals Board

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Amendments
on
August 4, 2020

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COUNTY OF KAUAI
HUMAN RESOURCES DEPARTMENT OF
PERSONNEL SERVICES COUNTY OF KAUAI

PART 2 RULES OF THE CIVIL SERVICE COMMISSION/MERIT APPEALS
BOARD

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DEPARTMENT OF PERSONNEL SERVICES

PART 2 — RULES OF THE CIVIL SERVICE COMMISSION/MERIT
APPEALS BOARD

CHAPTER 1

RULES OF PRACTICE AND PROCEDURE

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- § 1-2 — Authority
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Subchapter 1

RULES OF GENERAL APPLICABILITY

§1-1 Purpose of chapter; statement of policy. This chapter governs procedures before the commission. It shall be construed to effectuate the purpose of the chapter and to secure the just and efficient determination of every proceeding.

(Auth: HRS §§ 76-14, 76-47, Art XV; RCC, Sec. 15.03)

§1-2 Authority. These rules govern practice and procedure before the commission of the County of Kauai under civil service law, as modified by chapter 89, HAWAII REVISED STATUTES; Hawaii Administrative Procedure Act, chapter 91, HAWAII REVISED STATUTES; chapter 92, HAWAII REVISED STATUTES; and such other related acts as may now or hereafter be

administered by the commission. The commission shall serve and sit as an appellate body. The matters of policy, methodology, and administration are left to the determination of the director.

(Auth: HRS §§ 76-14, 76-47)

§ 1-3 Construction of rules. These rules shall be liberally construed to secure the just, speedy and inexpensive determination of every proceeding.

(Auth: HRS §§ 76-14, 76-47)

§ 1-4 Limitation of jurisdiction. (a) Where the terms of collective bargaining agreements pursuant to chapter 89, HRS, conflict with these rules the terms of the agreement shall prevail; provided that the terms are not inconsistent with section 89-9(d), HRS.

(b) This title shall not apply to the assignment of classes to SC and EM (excluded managerial) ranges.

(c) Matters concerning the appropriateness of appealed classes and their standards, propriety of positions allocated to these classes, or any other classification matter shall be heard separate from initial pricing appeals.

(Auth: HRS § 76-14)

§ 1-5 Procedure and terms. (a) Statutory terms. The terms used in rules promulgated by the commission pursuant to powers granted by statute shall have the meaning defined by such statute, unless the context otherwise specifically requires.

(b) Terms defined by rule. A rule or regulation that defines a term without express reference to the statute or to these rules or to a portion thereof, defines such terms for all purposes as used both in the statute and in these rules, unless the context otherwise specifically requires.

(c) Use of number and gender. Words importing the singular number may extend and be applied to several persons or things and words importing the plural may include the singular and words importing the masculine gender may be applied to the feminine gender. (Auth: HRS §§ 1-14, 1-15, 1-16, 1-17)

§ 1-6 Definitions. As used in this chapter, unless a different meaning clearly appears in the context:

“Affected classes” means the unappealed, related and identical classes of the compensation plan.

“Affected persons” means persons affected by the compensation plan and believing that their respective classes are improperly priced.

“Appointing authority” means a department head or designee having the power to make appointments or changes in the status of employees.

“Chairperson” means the chairperson of the commission.

“Class” means a group of positions that reflect sufficiently similar duties and responsibilities such as that the same title and the same pay range may apply to each position allocated to the class.

“Commission” means the civil service commission/merit appeals board.

“Compensation plan” means the pay plan consisting of the assignment of all classes in the classification system to pay ranges in the appropriate salary schedules on the basis of their relative differences in level of work.

“Director” means the director of the human resource department ~~of personnel services~~ of the county. “Hearing” means any proceeding governed by sections 76-14, 76-47, HRS; and sections 91-8 and 91-9, HRS.

“Meeting” means the convening of the commission for which a quorum is required in order to make a decision or to deliberate toward a decision upon a matter over which the commission has supervision, control, jurisdiction, or advisory power.

“Merit Appeals Board” means a jurisdiction’s appellate body for purpose of Section 76-14, HRS, regardless of whether it is named merit appeals boards, civil service commission, or appeals board.

“New class” means a class which did not formerly exist within the appropriate compensation plan, and represents a new concept of work for which an initial pricing action was taken.

“Party” means each person or agency named or admitted as a party or properly seeking and entitled as of right to be admitted as a party in a proceeding.

“Person” means or includes individuals, partnerships, corporations, associations, or public or private organizations of any character other than governmental agencies.

“Presiding officer” means, with respect to proceedings, the chairperson, and includes any member of the commission designated as such, or such other persons authorized by law to conduct hearings.

“Pricing” means the process of assigning classes to appropriate salary ranges and wage board ranges.

“Proceedings” means the commission’s determination of the relevant facts and applicable law, consideration thereof, and action thereupon with respect to a particular subject within the commission’s jurisdiction, initiated by a filing or submittal or request or a commission’s notice or order. It shall include proceedings involving the adoption, amendment or repeal of any rule or regulation of the commission whether initiated by commission order or notice, or by petition of an interested person.

(Auth: HRS §§ 76-14, 76-47)

§1-7 The commission. (a) Office. The office of the civil service commission is located in the Pi’ikoi building at Lihue, Hawaii. All communications to the commission shall be addressed to the Office of Boards and the Commissions, 4444 Rice Street, Suite 300+40, Lihue, Hawaii 96766, unless otherwise specifically directed.

(b) Hours. The office of the commission will be open from 7:45 a.m. to 4:30 p.m.

Of each workday unless otherwise provided by statute or executive order.

- (c) Meetings. The commission may meet and exercise its powers in any part of the County of Kauai.
- (1) Open meetings. All meetings of the commission except executive meetings and meetings governed by sections 91-8 and 91-9, HRS, shall be open to the public.
 - (2) Executive meetings. The commission may hold an executive meeting, closed to the public, upon an affirmative vote, taken at an open meeting, of two thirds of the members present. The vote of each member on the question of holding a meeting closed to the public and the reason for holding such a meeting shall be recorded and entered into the minutes of the meeting. A meeting closed to the public may be held only for one or more of the following purposes:
 - (A) To consider the hire, evaluation, dismissal or discipline of an officer or employee or charges brought against such individual where consideration of matters affecting privacy will be involved; provided, that if the individual concerned requests an open meeting, an open meeting shall be held;
 - (B) To consult with the commission's attorney;
 - (C) To investigate proceedings regarding criminal misconduct; and
 - (D) To consider sensitive matters relating to public safety or security.
 - (3) Chance meetings. The rules governing meetings shall not apply to any chance meeting, as defined by section 92-2, HRS, at which matters relating to official business are not discussed. No chance meeting or electronic communication shall be used to circumvent the spirit or requirements of the meetings provisions to make a decision or to deliberate toward a decision upon a matter over which the commission has supervision, control, jurisdiction or advisory power.
 - (4) Special meetings. Special meetings of the commission for the transaction of its business may be held at any time and place as scheduled by the commission.
 - (5) Emergency meetings. If the commission finds that an imminent peril to the public health, safety or welfare requires a meeting in less time than is provided for in paragraph (6), the commission may hold an emergency meeting provided:
 - (A) The commission states in writing the reasons for its findings;
 - (B) Two-thirds of all members to which the commission is entitled agree that an emergency exists;
 - (C) An emergency agenda and the findings are filed with the office of the county clerk and in the commission's office; and
 - (D) Persons requesting notification pursuant to paragraph (6) are contacted by mail, electronic mail (email) or telephone as soon as practicable.
 - (6) Notice.
 - (A) Public notice.
 - (i) The commission shall give written public notice of any regular, special, or rescheduled meeting. The public notice shall include an agenda which

lists all of the items to be considered at the forthcoming meeting, the date, time and place of the meeting.

- (ii) The commission shall file the public notice in the office of the county clerk ~~and in the commission's office~~ for public inspection at least six (6) calendar days before the meeting. The public notice shall also be posted at the site of the meeting whenever feasible. The commission shall not add items to the agenda, once filed, without a two-thirds record vote of all members to which the commission is entitled; provided that no item shall be added to the agenda in the manner provided herein, if it is of reasonably major importance and action thereon by the commission will affect a significant number of persons.
- (B) Notice to parties. For hearings governed by sections 91-8 and 91-9, HRS, all parties shall be given notice of the hearing as required by law and provided for in these rules.
- (7) Construction. The provisions requiring open meetings shall be liberally construed and the provisions providing for exceptions to open meeting requirements shall be strictly construed against closed meetings.
- (d) Quorum and number of votes necessary to validate acts. A majority of all members to which the commission is entitled shall constitute a quorum to transact business, and the concurrence of a majority of all members to which the commission is entitled shall be necessary to make valid any action of the commission.
- (e) Minutes. The commission shall keep written minutes of all meetings. Unless otherwise required by law, neither a full transcript nor a recording of the meeting is required, but the written minutes shall give a true reflection of the matters discussed and the views of the participants. The minutes shall include, but need not be limited to:
 - (1) the date, time and place of the meeting;
 - (2) the members of the commission recorded as either present or absent;
 - (3) the substance of all matters proposed, discussed or decided; and a record, by individual member, of any votes taken; and
 - (4) Any other information that any member of the commission requests be included or reflected in the minutes. The minutes shall be available within ~~forty (40)~~thirty (30) days after the meeting except where such disclosure would be inconsistent with section 92-4, HRS.
- (f) Administrative.
 - (1) The chairperson of the commission shall be responsible for the administration functions of the commission.
 - (2) Authentication of commission action. All decisions, orders and other actions of the commission shall be signed by the chairperson or the presiding officer acting in such proceeding. Official copies of decisions, orders and other commission actions may be promulgated under the signature of the chairperson of the commission or the chairperson's delegate.
- (g) Submittals and requests. All documents required to be filed with

the commission shall be filed in the office of the commission within such time limits as prescribed by laws, rules of the commission or order of the commission. Requests for public information, copies of official documents or opportunity to inspect public records may be made in writing to the commission's office or in person at said office.

(Auth: HRS §§ 76-14, 76-47, 92-1, 92-3, 92-4, 92-5, 92-7, 92-8, 92-9, 92-15)

§1-8 Delegation of administrative duties. (a) The commission may delegate to any competent and qualified individual such power or authority vested in the commission it deems reasonable and proper for the effective administration of chapter 76, HRS, and these rules except the power to make, amend or repeal rules and regulations.

(b) Hearing officer. The commission may, by written resolution adopted by a majority of the members to which it is entitled, appoint a competent and qualified disinterested person to act as its hearing officer. The hearing officer shall hear the matter in the same manner as if it were before the commission and, upon the conclusion of the hearing, shall transmit to the commission a record of the hearing, including a recording or transcript and a summary of evidence taken at said hearing. After review of the testimony and evidence, a majority of the members to which the commission is entitled shall render a decision in accordance with section 91-11, HRS.

(Auth: HRS §§ 76-14, 76-47, 91-2, 92-16)

§1-9 Government records. (a) Files of the commission. The term "government records" as used in this part is defined as in section 92F-3, HRS, and shall include all rules, regulations, written statements of policy or interpretations formulated, adopted or used by the commission, all petitions of appeal, opinions and orders, written testimony, minutes of meetings of the commission and any other material on file in the office of the commission unless accorded confidential treatment pursuant to law or the rules of the commission.

(b) Inspection of government records. All government records which are required to be disclosed pursuant to section 92F-12, HRS, will be available for inspection in the office of the commission during established office hours unless public inspection of such records is in violation of any law or rule. Nothing in this rule shall be construed to prevent the county attorney from raising any and all objections to the production of government records that are subject to discovery or subpoena under any rule or order of the court. The county attorney is authorized to raise objections and defenses pertaining to the discovery and subpoena of the commission's records and withhold production and disclosure of said documents pending a final court order.

(c) Copies of government records. Government records which are required to be disclosed pursuant to section 92F-12, HRS, that are printed or reproduced by the commission shall be given to any person requesting the same and paying the fees established by the commission or by law.

(d) Requests. Requests for public information, for permission to inspect government records or for copies of government records shall be handled expeditiously. Said government records, however, will not be released for review or copying without the approval of the chairperson or the chairperson's delegate.

(e) Denial of inspection. Any person denied access to inspect government records or to copies of government records may apply to the circuit court of the circuit wherein the government record is found for an order permitting access to inspect government records or to copies of government records.
(Auth: HRS §§ 92.21, 92.F)

Subchapter 2

PROCEEDINGS BEFORE THE COMMISSION

§1-10 General proceedings. The commission may, on its own motion or upon the petition of any interested person or agency of the federal, state or county government; hold such proceedings as it may deem necessary in the performance of its duties or the formulation of its rules and regulations. Procedures to be followed by the commission shall, unless specifically prescribed in these rules or by the Hawaii Administrative Procedure Act or by any other statute, be such as in the opinion of the commission will best serve the purpose of such proceeding. (Auth: HRS §§ 76-14, 76-47)

§1-11 Appearances and practices before the commission. (a) Appearances before the commission. A public employee may appear in such employee's own behalf; an employee organization may be represented by its duly designated representative; and the director or appointing authority may appear on their own behalf.

(b) Representation. In any proceeding under these rules, the director, appointing authority or employee may be represented by an attorney or any other individual authorized, in writing, to act in a representative capacity. The cost of such attorney shall be borne by the party being represented.

(c) Validation of authority. When an individual acting in a representative capacity appears in person or signs a paper in practice before the commission, the personal appearance or signature of such individual shall constitute a representation to the commission that, under the provisions of these rules and the law, the individual is authorized and qualified to represent the particular person on whose behalf such individual acts. The commission may at any time require individuals transacting business with the commission in a representative capacity to show to the commission their written authorization to act in such capacity.

(d) Bar to appearance.

(1) Former commission association. No individual who has been associated with the commission as a member, officer, employee or counsel shall be permitted to appear before the commission in behalf of or to represent in any manner any party in connection with any proceeding or matter that such individual has handled or passed upon while associated in any capacity with the commission.

(2) Limitations of assistance from barred persons. No person or

agency appearing before the commission in any proceeding or matter shall, in relation thereto, knowingly accept assistance from and compensate any individual who would be barred by this subsection.

- (3) Written consent to appear. No person who has been associated with the commission as a member, officer, employee or counsel thereof shall be permitted to appear before the commission in behalf of, or to represent in any manner, any person or agency in connection with any proceeding or matter that was pending before the commission at the time of such person's association, unless written consent of the commission shall first have been obtained, upon a verified showing that such individual did not give personal consideration to the matter or proceeding as to which consent is sought or gain particular knowledge of the facts thereof during such person's association with the commission.
- (4) One year limitation. This subsection shall not apply to any individual or agency who has terminated association with the commission for a period of one year.

(Auth: HRS §§ 76-14, 76-47)

§ 1-12 Disqualification of commissioner or hearing officer. Any party to a hearing may, up to five (5) days before the proceeding, file an affidavit that one or more of the commissioners or a hearing officer has a personal bias or prejudice. The commissioner against whom the affidavit is so filed may answer the affidavit or may file a disqualifying certificate with the commission. If the commissioner or hearing officer chooses to answer the affidavit, the remaining commissioners shall decide by a majority of all the members to which the commission is entitled whether that commissioner or hearing officer should be disqualified from proceeding therein. Every such affidavit shall state the facts and reasons for the belief that bias or prejudice exists and shall be filed at least five (5) days before the hearing, or good cause shall be shown for the failure to file it within such time. Any commissioner or hearing officer may be disqualified by filing with the chairperson a certificate acknowledging inability for any reason to preside with impartiality in the pending hearing. (Auth: HRS §§ 76-14, 76-47)

§ 1-13 Consolidation. The commission, upon its own initiative or upon motion, may consolidate for hearing or for other purposes or may contemporaneously consider two or more proceedings that involve substantially the same parties, or issues that are same or closely related, if it finds that such consolidation or contemporaneous hearing will be conducive to the proper dispatch of its business and to the ends of justice and will not unduly delay the proceedings. (Auth: HRS §§ 76-14, 76-47)

§ 1-14 Filing of documents. (a) Time and place. All requests, appeals, pleadings, submittals, petitions, reports, maps, exceptions, briefs, memoranda and other papers required to be filed with the commission in any proceeding shall be filed at the office of the commission within the time limits prescribed by law, the rules of the commission or by order

of the commission. The date on which the papers are received, if hand delivered, or postmarked, if delivered by mail, shall be regarded as the date of filing.

(b) **Form.** All requests and appeals filed with the commission shall be written in ink, typewritten, mimeographed or printed; shall be plainly legible; and shall be on strong, durable paper no larger than 8-1/2 x 11 inches in size, except that maps, charts, tables and other like documents may be larger, folded to the size of the papers to which they are attached.

(c) **Certification.** All documents must be signed in ink by the party signing the same or by such party's duly authorized agent or attorney. The signature of the person signing the document constitutes a certification that such person has read the document; that to the best of the person's knowledge, information and beliefs, every statement contained therein is true and no such statement is misleading; and that it is not interposed for delay.

(d) **Copies.** Unless otherwise specifically provided by a particular rule, regulation or order of the commission, an original and eight copies of all papers shall be filed.

(e) **Identification.** All documents filed by any person or agency in any proceeding shall state on the first page thereof the name, mailing address, electronic mail (email) address and telephone number, if any, of the individual or individuals who may be served with any documents filed in the proceeding.

(Auth: HRS §§ 76-14, 76-47, 91-2, 91-6, 91-8)

§1-15 Amendment of documents and dismissal. If any document filed in a proceeding is not in substantial conformity with the applicable rules of the commission as to contents thereof, or is otherwise insufficient, the commission may, on its own motion or on motion of any party, strike such document or require its amendment five (5) days or the balance of the period for filing, whichever is greater, shall be allowed for submittal of amended documents. If amended, the document shall be effective as of the date of receipt of the amendment or other date provided by this title. (Auth: HRS §§ 76-14, 76-47, 91-2, 91-6, 91-8)

§1-16 Retention of documents. All documents filed with or presented to the commission shall be retained in the files of the commission. The commission may permit the withdrawal of original documents upon submission of properly authenticated copies to replace such documents. (Auth: HRS §§ 76-14, 76-47, 91-2, 91-6, 91-8)

§1-17 Computation of time. In computing any period of time prescribed or allowed by these rules, the day of the act, event or default, after which the designated period of time is to run, is not to be included. The last day of the period so computed is to be included unless it is a Saturday, Sunday or legal holiday in the State of Hawaii, in which event the period runs until the next day which is neither a Saturday, Sunday nor a holiday. Intermediate Saturdays, Sundays and holidays shall not be included in a computation when the period of time prescribed or allowed is ten (10) days or less. A half day holiday shall be considered as other days and not as a holiday. (Auth: HRS § 1-29)

§ 1-18 Continuances or extensions of time. Whenever a person or agency has a right or is required to take action within a period prescribed or allowed by these rules, the chairperson upon the filing of a proper motion or request by the person or agency, may permit the act to be done after expiration of the specified period if such delinquency is clearly shown to have been the result of excusable neglect. Such request must be filed no later than ten (10) days prior to the hearing date set for the appeal and be accompanied by an affidavit or other evidence or documents supporting the request for an extension or continuance. This provision shall not apply to the twenty (20) days time period in which the petition of appeal must be filed with the commission as required under section 1-39. (Auth: HRS §§ 76-14, 76-47)

§ 1-19 Service of process. (a) By whom served. The commission shall cause to be served all orders, notices and other papers issued by it, together with any other papers that is required by law to serve. All other papers shall be served by the parties filing them.

(b) Upon whom served. All papers served by either the commission or any party shall be served upon all parties or their counsel. Any counsel entering an appearance subsequent to the proceeding shall notify all other counsel of record and all parties not represented by counsel of such fact.

(c) Service upon parties. The final order, and any other paper required to be served by the commission upon a party and a copy shall be furnished to counsel of record.

(d) Method of service. Service of papers shall be made personally or, unless otherwise provided by law, by first-class mail to the last known address.

(e) When service complete. Service upon parties, other than the commission, shall be regarded as complete by mail upon deposit in the United States mail, properly stamped and properly addressed to the parties involved.
(Auth: HRS §§ 76-14, 76-47)

§ 1-20 Commission decision. All final orders, opinions or rulings entered by the commission in the proceeding and rules promulgated by the commission shall be served upon the parties participating in the proceeding by first-class mail or personal delivery by the commission. Copies of such material shall be available for public inspection in the office of the commission or may be obtained upon request and upon payment of reasonable fees, if any. (Auth: HRS §§ 76-14, 76-47)

Subchapter 3

RULES APPLICABLE TO RULEMAKING PROCEDURES

§1-21 Initiation of rulemaking proceedings. (a) Motion by commission. The commission may, at any time on its own motion, initiate proceedings for the adoption, amendment or repeal of any rule of the commission. Procedures to be followed in rulemaking shall be as set forth in rules of the commission and the applicable statutes.

(b) Petition by person or agency. Any interested person or agency may petition the commission for the adoption, amendment or repeal of any rule of the commission. Petitions for rulemaking filed with the commission will become matters of public record.

- (1) Form and content. Petitions for rulemaking shall conform to the requirements of section 1-14 and shall contain the name, address and telephone number of each petitioner; the signature of each petitioner; a draft or the substance of the proposed rule or amendment or a designation of the provisions the repeal of which is desired; a statement of the petitioner's interest in the subject matter; and a statement of the reasons in support of the proposed rule, amendment or repeal.
- (2) Commission action. The commission shall, within thirty (30) days after the filing of the petition for the adoption, amendment or repeal of any rule of the commission, place the petition on the agenda for its next scheduled public meeting. At the close of the public meeting the commission shall either deny the petition or initiate rulemaking proceedings as provided for in these rules.
- (3) Denial of petition. Any petition that fails in material respect to comply with the requirements herein or that fails to disclose sufficient reasons to justify the institution of rulemaking proceedings will be denied by the commission. The commission shall notify the petitioner in writing of such denial, stating the reasons therefor. Denial of a petition shall not prevent the commission from acting on its own motion, on any matter disclosed in the petition. Petitioner may seek a review of said denial through the circuit court pursuant to the administrative procedure act and applicable rules of court and statutes.
- (4) Acceptance of petition. If the commission determines that the petition is in order and that it discloses sufficient reasons in support of the petition the commission shall initiate the rule-making proceedings as provided in sections 1-23 through 1-28.

(Auth: HRS § 91-6)

§1-22 Notice of public hearing. (a) Publication and mailing. When, pursuant to a petition or upon its own motion, the commission proposes to adopt, amend or repeal a rule or regulation, a notice of proposed rulemaking shall be published at least once in a newspaper of general circulation in the county and such notice shall also be mailed to all persons or agencies who have made timely written requests for advance notice of the commissioner's

rulemaking proceedings. All such notices shall be published at least thirty (30) days prior to the date set for public hearing.

(b) Form. A notice of the proposed adoption, amendment or repeal of a rule or regulation shall include:

- (1) a statement of the date, time and place where public hearing will be held;
- (2) reference to the authority under which the adoption, amendment or repeal of a rule or regulation is proposed; and
- (3) a statement of the substance of the proposed rule.

(Auth: HRS §§ 91-3, 92-41)

§1-23 Conduct of hearing. (a) Presiding officer. The public hearing for the adoption, amendment or repeal of rules and regulations shall be heard before the commission and presided over by the chairperson of the commission or, in the chairperson's absence, by the vice-chairperson. The hearing shall be conducted in such a way as to afford to interested persons and agencies a reasonable opportunity to offer testimony with respect to the matters specified in the notice of hearing and so as to obtain a clear and orderly record. The presiding officer shall have authority to administer oaths or affirmations and to take all other actions necessary to the orderly conduct of the hearing.

(b) Continuance of hearing. Each such hearing shall be held at the time and place set in the notice of hearing but may at such time and place be continued by the presiding officer from day to day or to a later date or to a different place without notice other than the announcement thereof at the hearing.

(c) Order of proceeding. At the commencement of the hearing, the presiding officer shall read the notice of hearing and shall then outline briefly the procedure to be followed. Testimony shall then be received with respect to the matters specified in the notice of hearing in such order as the presiding officer shall prescribe.

(d) Submission of testimony. Witnesses shall, before testifying, state their name, address and whom they represent at the hearing, and shall give such other information as the presiding officer may request. The presiding officer shall confine the testimony to the matters for which the hearing has been called but shall not apply the technical rules of evidence. Every witness shall be subject to questioning by the members of the commission or by any other representatives of the commission; cross-examination by persons or agencies shall be as permitted.

(e) Oral and written presentation. All interested persons or agencies will be afforded an opportunity to submit data, views or arguments, orally or in writing, that are relevant to the matters specified in the notice of hearing. The period for filing written comments or recommendations may be extended beyond the hearing date by the presiding officer for good cause. An original ~~copy and eight copies~~ shall be filed when submitting written comments, recommendations or replies.

(f) Transcript of the evidence. Unless otherwise specifically ordered by the commission, testimony given at the public hearing shall not be reported verbatim. All supporting written statements, maps, charts, tabulations or similar data offered in evidence at

the hearing, and which are deemed by the presiding officer to be authentic and relevant, shall be received in evidence and made a part of the record. Unless the presiding officer finds that the furnishing of copies is impracticable, an original copy ~~nine (9) copies~~ of the exhibits shall be submitted. (Auth: HRS §§ 91-3, 92-41)

§1-24 Commission action. The commission will consider all relevant comments and material of record before taking final action in a rulemaking proceeding. Final action should be taken within sixty (60) days after the final public hearing, or the expiration of any extension period for submission of written comments or recommendations. (Auth: HRS § 91-3)

§1-25 Emergency rulemaking. Notwithstanding the foregoing rules, if the commission finds that an imminent peril to public health or safety requires adoption, amendment or repeal of a rule or regulation upon less than thirty (30) days notice of hearing, and states in writing its reasons for such findings, it may proceed without prior notice or hearing or upon such abbreviated notice and hearing as it finds practicable to adopt an emergency rule or regulation. The commission shall make an emergency rule known to persons who will be affected by it by publication at least once in a newspaper or general circulation in the county. (Auth: HRS § 91-3)

§1-26 Filing of rules. The commission, upon adopting, amending or repealing a rule and approval by the mayor, shall file certified copies thereof with the county clerk. (Auth: HRS §§ 91-3, 91-4, 91-4.1)

§1-27 Taking effect of rules. Each rule adopted, amended or repealed shall become effective ten (10) days after filing with the county clerk. If a later effective date is required by statute or specified in the rule, the later date shall be the effective date; provided that no rule shall specify an effective date in excess of thirty (30) days after the filing of the rule with the county clerk. An emergency rule shall become effective upon filing with the county clerk for a period not exceeding one hundred twenty (120) days without renewal unless extended in compliance with the provisions of subdivisions (1) and (2) of section 91-3(a), HRS. (Auth: HRS § 91-4)

§1-28 Publication of rules. The commission shall, as soon as practicable compile, index and publish all rules adopted by the commission and remaining in effect. Compilations shall be supplemented as often as necessary and shall be revised at least once every ten (10) years. (Auth: HRS § 91-5)

Subchapter 4

RULES APPLICABLE TO DECLARATORY RULINGS

§1-29 Petitions for declaratory rulings. On petition of an interested person or agency, the commission may issue a declaratory order as to the applicability of any statutory provision or order of the commission.

(a) Form and Contents. The petition shall conform to the requirements of section 1-14 and shall contain the name, mailing address, electronic mail (email) address and telephone number of each petitioner; the signature of each petitioner; a designation of the specific provision, rule or order in question, together with a statement of the controversy or uncertainty involved; a statement of the petitioner's interest in the subject matter, including the reasons for submission of the petition; a statement of the petitioner's position or contention; and a memorandum of authorities, containing a full discussion of reasons and legal authorities in support of such position or contention.

(b) Commission action. The commission shall, within a reasonable time after the petition for a declaratory ruling is filed with the commission, either:

- (1) Deny the petition and issue a written decision stating the reasons for such denial;
- (2) Issue a declaratory order on the matters contained in the petition; or
- (3) Set the matter for hearing as provided in section 1-30.

(c) Dismissal of Petition. The commission may, without notice or hearing, dismiss a petition for declaratory ruling that fails in material respect to comply with the requirements of this part.

(Auth: HRS § 91-8)

§1-30 Request for hearing. Although in the usual course of disposition of a petition for a declaratory ruling no formal hearing will be granted to the petitioner or to a party in interest, the commission may in its discretion order such proceeding set down for hearing. Any petitioner or party in interest who desires a hearing on a petition for a declaratory ruling shall set forth in detail in the request the reasons why the matters alleged in the petition, together with supporting affidavits or other written evidence and briefs or memoranda of legal authorities, will not permit the fair and expeditious disposition of the petition and, to the extent that such request for a hearing is dependent upon factual assertion, shall accompany such request by affidavit establishing such facts. In the event a hearing is ordered by the commission, section 91-9, HRS, shall govern the proceedings. (Auth: HRS § 91-8)

§1-31 Applicability or order. An order disposing of a petition shall be applicable only to the factual situation described in the petition or set forth in the order.

(Auth: HRS § 91-8)

§1-32 Declaratory ruling on commission's own motion. Notwithstanding the other provisions of this part, the commission may, on its own motion or upon request but without

notice or hearing, issue a declaratory order to terminate a controversy or to remove uncertainty. (Auth: HRS § 91-8)

§1-33 Refusal to issue declaratory order. The commission may for good cause, refuse to issue a declaratory order with specific reasons for such determination. Without limiting the generality of the foregoing, the commission may so refuse where:

- (1) The question is speculative or purely hypothetical and does not involve existing facts, or facts that can be expected to exist in the near future;
- (2) The petitioner's interest is not of the type that would give the petitioner standing to maintain an action if such petitioner were to seek judicial relief;
- (3) The issuance of the declaratory order may affect the interests of the commission in a litigation that is pending or may reasonably be expected to arise; or
- (4) The matter is not within the jurisdiction of the commission.

(Auth: HRS § 91-8)

Subchapter 5

RULES APPLICABLE TO INITIAL PRICING AND COMPENSATION PLANS

§1-34 Pricing policies. (a) The white collar and blue collar compensation plans applicable to the county shall be as consistent as is practicable with the objective of achieving equal pay for equal work as provided in 76-1, HRS.

(b) It shall be the objective of each major plan to maintain proper relationships between classes of positions within each compensation part and within and between the county and its political jurisdictions based on objective criteria and systematic job evaluation of classes, unless it has been agreed in accordance with chapter 89, HRS, to negotiate the repricing of classes. The development of each compensation plan shall be governed by a policy encompassing the criteria set forth in subsections (c) through (f).

(c) Salary range or wage board grade assignments for the various classes of work in each compensation part of the plan shall be set in proper relationship to one another so that like salary range or wage board grade assignments are made for comparable duties and responsibilities.

(d) Salary range or wage board grade assignments between relatable classes in each compensation part of the plan are to be set in a manner consistent with the ranking of classes from low to high in recognition of the varying complexities, difficulties, and nature of responsibilities.

(e) The initial pricing of classes shall not be influenced by employee benefit considerations, night shift and other similar working condition differentials which are separate and distinct parts of pay administration, except where such benefits are considered in the pricing of the classes.

(f) Due consideration shall be given to the financial condition of government.

(Auth: HRS §§ 76-14, L 2000, c 253, §149)

§ 1-35 Pricing standards. (a) All classes of positions which perform work in recognized trades or crafts or other skilled mechanical crafts or unskilled, semi-skilled, or skilled manual labor occupations, including positions of inspectors and supervisors having trades, crafts or laboring experience and knowledge as the paramount requirement shall be included in the blue collar compensation plan. All other classes of positions shall be included in the white collar compensation plan. The commission shall:

- (1) Adopt and maintain guidelines for the determination of classes within the appropriate plan; and
 - (2) Determine appeals against inclusion and exclusion of classes consistent with the definition and guidelines.
- (b) The commission shall adopt and maintain bench mark classes for each compensation part of each plan in accordance with the following criteria:
- (1) Achieve the principle of equal pay for equal work;
 - (2) Serve as pivotal classes in that assignment of other classes within a series of classes of salary range or wage board grade may be made with reference to these classes;
 - (3) Are easily identifiable work where the nature of duties and responsibilities and the level of complexity are representative; and
 - (4) Are common to all or most of the jurisdictions or serve as essential and sound reference points to the salary program of a governmental jurisdiction.
- (c) The evaluation and ranking of classes within the framework of each compensation part of each compensation plan shall be in accordance with subsections (d) through (g).
- (d) Bench mark classes shall be identified to establish and reflect base relationships between classes and to illustrate the level of work found at various salary ranges or grades.
- (e) Classes shall be evaluated and ranked by the methods set forth in established guidelines.
- (f) Guidelines shall be adopted and maintained to rank classes using appropriate individual or combined evaluation factors from the following:
- (1) Knowledge and skills required. The nature and extent of information or facts which must be understood and applied in order to do acceptable work, and the nature and extent of skills needed to apply these knowledges, i.e. training and experience.
 - (2) Supervisory controls. The nature and extent of direct or indirect controls exercised by the supervisor, i.e. the extent of responsibility for work product and the method of reviewing completed work.
 - (3) Guidelines. The nature of the guidelines available and the judgment required in applying them.
 - (4) Complexity. The nature, number, variety, and intricacy of tasks, steps, process, or methods in the work performed; difficulty in identifying what

needs to be done; the difficulty and originality involved in performing the work; and the scope and effect of work done.

- (5) Personal contacts. The nature and purpose of face-to-face, telephone, and other dialogue with persons not in the supervisory chain which ranges from the exchange of information to those cases involving significant or controversial issues, differing viewpoints, goals, or objectives.
- (6) Physical demands. The physical abilities and exertion required.
- (7) Work environment. The risks and discomfort in the work's physical surroundings or the nature of the work assigned and the safety precautions required.
- (8) Supervisory skills. The nature and scope of getting work done by subordinates with accountability to superiors for the quality and quantity of work and for assuring efficient and economical work operations.
- (9) Managerial responsibilities. The nature and scope of line or staff programs which involve:
 - (A) Directing the work of a sizeable organization through subordinates who control and guide the operations;
 - (B) Making decisions or recommendations on contents and character of operations, policies, programs and goals, planning and evaluation activities, and personnel matters affecting key persons and positions;
 - (C) Monitoring and accounting for the success of specific line or staff programs and for attainment of planned goals and objectives; and
 - (D) Assessing the impacts of operational activities on public relations, legislative or judicial concerns, and labor-management affairs.

Each factor may have differing values or weight, and shall be consistently applied to each class within the compensation part of each plan.

(g) The commission shall adopt and maintain guidelines to reflect relationships between compensation parts of each plan to insure the objectives of section 1-34 are carried out effectively.

(Auth: HRS §§ 76-14, L2000, c 253, 149)

§1-36 Determination of blue collar classes. (a) Any person who has standing to appeal pricing in accordance with section 1-38 may file to determine the inclusion or exclusion of the person's class from the blue collar compensation plan in conjunction with an initial pricing appeal.

(b) Appeal on the appropriateness of the assigned compensation plan shall be filed on a special form furnished by the commission and it shall conform to the requirements of section 1-39.

(c) The commission shall be guided by section 1-35 and other commission guidelines in determining whether a class belongs to the white collar or blue collar compensation plan.

(d) The remaining procedures and requirements of subchapter 6 of these rules shall be applicable in determining the appropriateness of the designated compensation plan and the proper pricing of the class under appeal within that plan.
(Auth: HRS § 76-14)

§1-37 Amendments to Compensation Plans. (a) The commission shall report adjustments to the director for notification to departments/agencies and other jurisdictions for amendment to the compensation plan.

(b) The effective date on initial pricing appeals where the decisions are in favor of the appellants shall be retroactive to the effective date of the action of the director.
(Auth: HRS § 76-14)

Subchapter 6

RULES APPLICABLE TO APPEALS

§1-38 Standing to appeal. (a) The commission shall decide appeals from any action under this chapter taken by the chief executive, the director, an appointing authority, or a designee acting on behalf of one of these individuals, relating to:

- (1) Recruitment and examination;
- (2) Classification and reclassification or a particular position;
- (3) Initial pricing of classes; and
- (4) Other employment actions under this chapter, including disciplinary actions and adverse actions for failure to meet performance requirements, taken against civil service employees who are excluded from collective bargaining coverage under section 89-6, HRS.

(b) Any person suffering legal wrong by an action under subsection (a)(1) or aggrieved by such action shall be entitled to appeal to the commission.

Any employee covered by chapter 76, HRS, suffering legal wrong by an action under subsection (a)(2) or (3) shall be entitled to appeal to the commission. Only employees covered by chapter 76, HRS, who are excluded from collective bargaining, suffering legal wrong by an action under subsection (a)(4) shall be entitled to appeal to the commission.

Persons who may file initial pricing appeals are:

- (1) an employee, or the employee's designated representative may file a pricing appeal on a new class to which the employee's position is allocated;
- (2) the director of a department or the director's designated representative may file pricing appeals on classes in which it has positions; and
- (3) an employee organization acting on behalf of its membership may file pricing appeals on the classes in which it has members.

(c) The commission shall not act on an appeal, but shall defer to other authority, if the action complained of constitutes a prohibited act that is subject to the jurisdiction of

another appellate body or administrative agency or the grievance procedure under a collective bargaining agreement;

(d) The commission shall not proceed on an appeal or shall hold proceedings in abeyance if there is any controversy regarding its authority to hear the appeal until the controversy is resolved by the Hawaii Labor Relations Board;

(e) The commission shall not proceed on an appeal unless all internal complaint procedures, including administrative review and departmental complaint procedures have been exhausted.

(Auth: HRS § 76-47)

§ 1-39 Filing of appeal. (a) Time. Any person who has standing to appeal shall file a petition of appeal to the commission within twenty (20) calendar days after notice of the action was sent by the director or appointing authority. For purposes of this rule the date notice of the action is sent shall be construed as either:

- (1) If the notice is mailed, the date the director or appointing authority mails the notice by first class mail to the person's last known address; or
- (2) If the notice is not mailed, the date the notice is hand delivered to the person. The petition of appeal shall be filed with the Civil Service Office of the Commission located at the Pi'ikoi building in the Office of Boards and Commissions at 4444 Rice Street, Suite 300+40, Lihue, Hawaii 96766, between the hours of 7:45 a.m. and 4:30 p.m. of each workday. All petitions submitted to the commission beyond the twenty (20) day period shall be deemed untimely and shall not be considered an appeal by the commission.

(b) Form. The petition of appeal shall conform to the requirements of section

1-14.

- (c) Content. The petition of appeal shall contain the following information:
- (1) A statement and description of the adverse action being appealed from the person filing the petition of appeal.
 - (2) The particular rule, regulation, statute, or policy that was violated by the director or appointing authority.
 - (3) A statement and description of all material and relevant facts in support of the appeal indicating how and in what manner the particular rule, regulation, statute, or policy was violated by the director or appointing authority.
 - (4) A statement of the issues involved in the appeal. Provided, that in the event the appellant is unable to ascertain the particular rule, regulation, statute or policy that was violated by the director or appointing authority or state all material and relevant facts in support of the appeal at the time the petition of appeal is filed, the appellant may, within thirty (30) days of the filing of the original petition of appeal, file an amended petition of appeal. For the purpose of the twenty (20) day filing limitation, the appeal shall be effective as of the date the original petition of appeal was filed.
 - (5) Initial pricing appeals shall:

- (a) be limited to a single class; and contain:
- (1) the name and signature of each petitioner;

- (2) the address and telephone number of each petitioner of the designated representative for any position having four or more petitioners;
- (3) all pricing appeal issues including a concise statement of relevant facts; and
- (4) the remedy sought, including the rationale.

All other materials intended to support the pricing appeal issues shall be submitted in the proper number of copies and within fifteen (15) days after submission of the pricing appeal.

- (b) be based on conditions existing at the time of the dated position description on which the new class and the initial pricing action was taken.
- (c) amended pricing appeals which are submitted within period prescribed in section 1-15 shall be effective as of the date of the original filing.

(Auth: HRS §§ 76-14, 76-47)

§1-40 Notice. All parties shall be given written notice of the hearing by registered or certified mail with return receipt requested at least fifteen (15) days prior to the hearing. The notice shall include a statement of:

- (1) The date, time, place and nature of the hearing;
- (2) The legal authority under which the hearing is to be held;
- (3) The particular sections of the statutes and rules involved;
- (4) An explicit statement in plain language of the issues involved and the facts alleged by the appellant in support thereof; provided that if the appellant is unable to state such issues and facts in detail at the time the notice is served, the initial notice may be limited to a statement of the issues involved; and
- (5) The fact that any party may retain counsel if such party so desires.

(Auth: HRS §§ 76-14, 76-47)

§1-41 Appeal hearing. (a) General. An appeal shall be conducted as a contested case under chapter 91, HRS. The commission shall, upon receipt of an appeal, order the matter set for hearing. In any appeal, all parties shall be afforded an opportunity for hearing after reasonable notice. Opportunities shall be afforded all parties to present evidence and argument on all issues involved. Any procedure in a contested case may be modified or waived by stipulation of the parties and informal disposition may be made of any appeal by stipulation, agreed settlement, consent order or default; provided that waiver of any procedure includes procedural requirements of section 91-11, HRS.

(b) Time and place. Hearing shall be held at the time and place set forth in the notice of hearing, but may at such time and place be continued from day to day or to a later day or to a different place without notice other than the announcement thereof by the presiding officer or hearing officer at the hearing.

(c) Nature of hearing. The nature of the hearing, whether open or closed, shall be governed by subsection 1-7 (c).

(d) Before whom. Appeals shall be heard before the commission or a hearing officer duly appointed by the commission.

(e) Presiding officer. When a proceeding is conducted before the commission itself, the proceeding shall be presided over by the chairperson of the commission or, in the chairperson's absence, by the vice-chairperson.

(f) Powers of presiding officer. The presiding officer at a proceeding shall have authority to control the course of the hearing; to hold conferences open to the public on which they have had notice, for the settlement of simplification of issues; to administer oaths and affirmation; to grant application for and issue subpoenas; to take or cause depositions to be taken; to rule upon offers of proof and receive relevant evidence; to limit lines of questioning or testimony that are irrelevant, immaterial or repetitious; to rule upon all objections, procedural requests and motions that do not involve final determination of proceedings; to dispose of any other matter that normally and properly arises in the course of the proceeding; and to take all other actions authorized by chapter 76, HRS, Hawaii Administrative Procedure Act, rules of the commission or by any other statute, that are deemed necessary to the orderly and just conduct of the hearing.

(g) Pre-hearing motions and requests. All pre-hearing motions and requests shall be filed with the office of the commission and served on the opposing party by personal service or by first class mail no later than two (2) weeks prior to the hearing date set by the commission for the appeal.

(h) Any hearing officer, board member or representative of the commission shall not consult with the director or representative of the petitioners, union, department director or their representatives on any matter pending before the commission except on notice and opportunity for the appellant or the appellant's representative and the director or representatives to participate.

(i) Disqualification. No hearing officer or commissioner shall be assigned to serve in any proceeding who has any pecuniary interest in any matter or business involved in the proceeding; who is related within the first degree by blood or marriage to any party to the proceeding; or who has participated in an investigation preceding the institution of the proceeding or in a determination that it should be instituted or in the development of the evidence to be introduced therein.

(j) Record of the hearing. The record of the hearing shall be compiled in conformance with section 91-9(e), HRS. The commission will make provisions for stenographic record of the testimony, but it shall not be necessary to transcribe the record unless requested for purposes of pre-hearing or court review. Any person desiring a copy of the record of a hearing or any part thereof shall be entitled to the same upon written application to the commission and upon payments of reasonable costs thereof.

(k) Witnesses.

(l) Subpoenas. Subpoenas requiring the attendance of witnesses or the production of documentary evidence from any place within the State of Hawaii at any designated place of hearing may be issued by the presiding officer or any designated member of the commission or by the hearing officer. Application for subpoenas shall be made in writing to the commission or

hearing officer. The application shall specify the particular documents or data desired and shall show their relevancy to the issues involved. Application shall be made at least five (5) days prior to the hearing. If application is made at a later time, the commission may, in its discretion, issue subpoenas and/or continue the hearing or any part thereof. Enforcement of obedience to subpoenas issued by the commission and served pursuant to these rules will be effected by written application of any member of the commission to any circuit judge.

- (2) Fees. Witnesses summoned shall be paid the same fees and mileage as are paid witnesses in circuit courts of the State of Hawaii and such fees and mileage shall be paid by the party at whose instance the witnesses appear. Fees for the depositions shall be paid by the party at whose instance the depositions are taken.

- (3) Oath. Witnesses shall be placed under oath or affirmation prior to testifying.

(l) Order of proceeding. At the commencement of the hearing, the presiding officer or hearing officer shall read the notice of hearing and shall then outline briefly the procedure to be followed. Such procedure, unless specifically prescribed in these rules or by the Hawaii Administrative Procedure Act or by any other applicable statute shall, in the opinion of the presiding officer or hearing officer, best serve the purpose of the hearing without prejudice to any party. Following the outlining of the procedures to be followed, the commission or the hearing officer shall first consider all pre-hearing motions or requests filed by the parties.

(m) Submission of testimony. All parties shall be given reasonable opportunity to offer testimony with respect to the matters relevant to the proceeding. Witnesses shall, before proceeding to testify, state their name, address and whom they represent at the hearing and shall give such information respecting their appearance relevant to the proceeding as the presiding officer or hearing officer may request. The presiding officer or hearing officer shall confine the testimony to the matters for which the hearing has been called, but need not apply the technical rules of evidence except as required by statute. Each witness may be subject to questioning by members of the commission and by any representative of the commission. Each witness may also be subject to cross-examination by the adverse party at the discretion of the presiding officer. Each party shall have the right to submit rebuttal evidence and rebuttal arguments.

(n) Official notice of facts. The commission or hearing officer shall take notice of judicially recognizable facts and may take notice of generally recognizable technical or scientific facts within the commission's or hearing officer's specialized knowledge when parties are given notice either before or during the hearing of the material so noticed and afforded the opportunity to contest the facts so noticed.

(o) Additional evidence. At the hearing, the presiding officer or hearing officer may require the production of further evidence upon any issue.

- (p) Closing the hearing. After all the evidence has been presented, the

commission or hearing officer shall give the parties opportunity to summarize. Within reasonable time after such final arguments have been completed and all requested memoranda submitted, the commission or hearing officer shall bring the matter to a close.

(q) Proposed findings and conclusions. The commission or hearing officer shall permit parties to file proposed findings and conclusions, together with the reasons therefore at the close of the hearing or within such time as is extended at the discretion of the commission or hearing officer. Such proposal shall be in writing and shall contain references to the record and to the authorities relied upon. Copies thereof shall be furnished to all parties.

(r) Commission action. (1) General. If the commission finds that the director or the appointing authority violated any applicable civil service rule, regulation, law or policy; the commission shall grant such relief to the appellant as allowed by law. If the commission finds that the director or the appointing authority did not violate any applicable civil service rule, regulation, law or policy; the commission shall deny the appeal and uphold the action of the director or the appointing authority.

(2) Appeals relating to failure to meet performance requirements. The commission shall use the conditions listed in section 76-41(c), HRS, in reaching a decision on whether actions taken by the appointing authority based on a failure by the employee to meet the performance requirements of the employee's position is with or without merit.

(3) Suspensions, discharge and demotions. If the commission finds that the reasons for the action are not substantiated in any material respect, the commission shall order that the employee be reinstated in the employee's position, without loss of pay, but if the commission finds that the reasons are substantiated or are only partially substantiated, the commission shall sustain the action of the appointing authority, provided that the commission may modify the action of the appointing authority if it finds the circumstances of the case so require and may thereupon order such disposition of the case as it may deem just.

(s) The commission shall confine its findings and decision on initial pricing appeals addressed to the appropriateness of either their assigned compensation plan and salary range or wage board grade assignment. Classification matters shall be heard in separate appeal.

(t) Findings and decisions. The findings and decisions of the commission shall be final on all appeals, unless an appeal is taken pursuant to section 91-14, HRS. For initial pricing appeals, findings and decisions of the commission shall be final until the next review of the compensation plans or negotiated repricing.

(u) Notice of decision. The commission shall, within sixty (60) days after the close of the hearing on the appeal, or such other time as the commission may deem reasonable, notify all parties of its decision and order by delivering or mailing a certified copy of the decision and order to each party or to such party's attorney of record. This decision and order shall include separate finds of facts and conclusions of law and, if the

parties have presented to the commission proposed findings of fact the commission shall incorporate in its decision a ruling upon each proposed finding so presented.
(Auth: HRS §§ 76-14, 76-47, Art XV, RCC, Sec. 15.03)



APPEAL FORM

Rules of the Civil Service Commission Merit Appeals Board.

Rule 6.2 Filing of Appeal: Any person who has a standing appeal shall file a petition of appeal (complete an Appeal Form) to the Civil Service Commission within twenty (20) calendar days after notice of the action was sent by the director or appointing authority.

Rule 6.1 (e) The Civil Service Commission shall not proceed on an appeal unless all internal complaint procedures, including administrative review and departmental complaint procedures have been exhausted. Hawaii Revised Statutes 76-47.

1. Appellant Contact Information:

Name: _____

Mailing Address: _____

Telephone Number: _____

Electronic Mail (Email) Address: _____

2. Is the Appellant a County of Kauai employee? Yes No

3. Appellant's Authorized Representative Information (if any):

Name: _____

Mailing Address: _____

Telephone Number: _____

Electronic Mail (Email) Address: _____

4. Name of the Mayor, Human Resource Director, Appointing Authority or Designee acting on behalf of one of these individuals whose action is appealed: _____

5. Pursuant to HRS 76-4 and Rule 6-1 Standing Appeal, this appeal is being filed for an action under the following category (check all applicable):

Recruitment & Examination

Classification or Reclassification of a particular position

Initial Pricing of Classes

Other employment actions under this rule, including disciplinary actions and adverse actions for failure to meet performance requirements, taken against civil service employees who are - excluded from collective bargaining coverage under Hawaii Revised Statutes §89-6

6. Date action taken: _____

7. Date notice of action was received by Appellant: _____

8. Statement of legal wrong caused by the action of the Mayor, Director of Human Resources, Appointing Authority, or Designee acting on one of these individuals, or a statement as to how such action has adversely affected or aggrieved the Appellant. Include concise statement of facts pertinent to this appeal.

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CSC 2020-20

Pi'ikoi Building
4444 Rice Street, Suite 300
Lihue, HI 96766

Hours: M-F 7:45am to 4:30pm (closed)

Sat/Sun/Holidays)

Appeal to the

CIVIL SERVICE COMMISSION/MERIT APPEALS BOARD

MO'IKEHA BUILDING
4444 Rice Street, Suite 150 LIHUE, KAUAI, HAWAII 96766
Telephone (808) 241-4810 • Fax (808) 241-5127
Submit original plus eight (8) copies of this form to the above address.

Use black ink or a typewriter to complete this form. Use additional pages as necessary.

1. Name, address, and telephone number of the Appellant:

Is the Appellant a County employee: Yes ___ No ___

2. Name, address, and telephone number of Appellant's authorized representative (if any):

3. Name of the Mayor, the Director of Human Resources, or appointing authority or a designee acting on behalf of one of these individuals whose action is being appealed:

4. Pursuant to HRS 76-14, this appeal is being filed for an action under the following category (check all applicable):

Recruitment & Examination

Classification or reclassification of a particular position

Employment action taken under Chapter 76, HRS, (appellant must be a civil service employee excluded from collective bargaining)

5. Date action taken:

6. Date notice of action was received by Appellant:

7. Statement of legal wrong caused by the action of the Mayor, Director of Human Resources, or an appointing authority or a designee acting on one of these individuals, or a statement as to how such action has adversely affected or aggrieved the Appellant. Include a concise statement of the facts pertinent to this appeal.

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8. Other facts relevant to this appeal:

9. Remedy requested with reasons and explanation of the legal basis by which remedy should be granted:

10. I would like to have my appeal heard in a meeting:
 Open to the Public
 Closed to the Public

Rules of the Civil Service Commission/Merit Appeals Board provide as follows:

§1-39 Filing of appeal. (a) Time. Any person who has a standing to appeal shall file a petition of appeal to the commission within twenty (20) calendar days after notice of the action was sent by the director or appointing authority.

(e) The commission shall not proceed on an appeal unless all internal complaint procedures, including administrative review and departmental complaint procedures have been exhausted.

This is to certify that to the best of my knowledge, information, and beliefs, every statement contained herein is true and no statement is misleading nor interposed for delay.

Date: _____

Appellant's Printed Name _____ Appellant's Signature _____

Printed Name of Appellant's Representative (if any) _____ Representative's Signature _____



APPEAL FORM

Rules of the Civil Service Commission/Merit Appeals Board.

Rule 6.2 Filing of Appeal: Any person who has a standing appeal shall file a petition of appeal (complete an Appeal Form) to the Civil Service Commission within twenty (20) calendar days after notice of the action was sent by the director or appointing authority.

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1. Appellant Contact Information:

Name: _____

Mailing Address: _____

Telephone Number: _____

Electronic Mail (Email) Address: _____

2. Is the Appellant a County of Kauai employee? _____ Yes _____ No

3. Appellant's Authorized Representative Information (if any):

Name: _____

Mailing Address: _____

Telephone Number: _____

Electronic Mail (Email) Address: _____

4. Name of the Mayor, Human Resource Director, Appointing Authority or Designee acting on behalf of one of these individuals whose action is appealed:

5. Pursuant to HRS 76-4 and Rule 6-1 Standing Appeal, this appeal is being filed for an action under the following category (check all applicable):

_____ Recruitment & Examination

_____ Classification or Reclassification of a particular position

_____ Initial Pricing of Classes

_____ Other employment actions under this rule, including disciplinary actions and adverse actions for failure to meet performance requirements, taken against civil service employees who are excluded from collective bargaining coverage under Hawaii Revised Statutes §89-6

6. Date action taken: _____

7. Date notice of action was received by Appellant: _____

8. Statement of legal wrong caused by the action of the Mayor, Director of Human Resources, Appointing Authority, or Designee acting on one of these individuals, or a statement as to how such action has adversely affected or aggrieved the Appellant. Include concise statement of facts pertinent to this appeal.

9. Other facts relevant to this appeal.

10. Remedy requested with reasons and explanation of the legal basis by which remedy should be granted.

11. My appeal will be heard before the Civil Service Commission/Merit Appeals Board at a scheduled Appeal Hearing meeting. Please select if you prefer to have the meeting open or closed to the public:

_____ Open to the Public _____ Closed to the Public

This is to certify that to the best of my knowledge, information, and beliefs, every statement contained herein is true and no statement is misleading nor made to create delay.

Appellant Signature _____ Date _____

Representative's Signature _____ Date _____

Submit Form Online: [Click Here](#)

Submit Form by Mail: Civil Service Commission
c/o Office of Boards and Commissions
Pi'ikoi Building
4444 Rice Street, Suite 300
Lihue, HI 96766

Hand Deliver Form: Office of Boards and Commissions
Pi'ikoi Building
4444 Rice Street, Suite 300
Lihue, HI 96766
Hours: M-F 7:45am to 4:30pm (closed Sat/Sun/Holidays)



DATE RECEIVED: _____

Appeal to the
CIVIL SERVICE COMMISSION/MERIT APPEALS BOARD

MO'IKEHA BUILDING
4444 Rice Street, Suite 150
LIHU'E, KAUA'I, HAWAII 96766
Telephone (808) 241-4919 • Fax (808) 241-5496

Submit original plus eight (8) copies of this form to the above address.

Use black ink or a typewriter to complete this form. Use additional pages as necessary.

1. Name, address, and telephone number of the Appellant:

Is the Appellant a County employee: ___ Yes ___ No

2. Name, address, and telephone number of Appellant's authorized representative (if any):

3. Name of the Mayor, the Director of Human Resources, or appointing authority or a designee acting on behalf of one of these individuals whose action is being appealed:

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8. Other facts relevant to this appeal:

9. Remedy requested with reasons and explanation of the legal basis by which remedy should be granted:

10. I would like to have my appeal heard in a meeting:
_____ Open to the Public
_____ Closed to the Public

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This is to certify that to the best of my knowledge, information, and beliefs, every statement contained herein is true and no statement is misleading nor interposed for delay.

Date: _____

Appellant's Printed Name

Appellant's Signature

Printed Name of Appellant's
Representative (if any)

Representative's Signature