

**APPROVAL AND FUNDING OF STAFF POSITIONS  
UNIVERSITY FINANCE OFFICE  
DEPARTMENT OF HUMAN RESOURCES  
SANTA CLARA UNIVERSITY**

The success of the University's *Strategic Plan* is dependent not just on strategic planning but also on strategic management, the systematic and imaginative implementation of the University's *Strategic Plan*. Successful implementation of the *Strategic Plan* depends on the ability to align University programs and resources and to focus resources sharply on advancing the University's vision, mission, and values. Such alignment requires that the planning and management of human resources be guided by administrative policies and procedures that recognize the interrelationships and interdependence of human resources and financial resources. The policies and procedures governing the budgeting and approval of staff positions described herein are designed to support these objectives.

All continuing and fixed term staff positions are approved through the University's annual consolidated operating budget process or by the responsible Vice President, Provost, or President in accordance with the applicable policies and procedures outlined below. Staff positions may be funded from a general University allocation or from revenue for which a school, center of distinction, or administrative division is responsible.

**APPROVAL OF CONTINUING STAFF POSITIONS**

Changes to existing organizations, programs, and services (including the reorganization and expansion of existing programs and services) involving changes to existing continuing staff positions (including a change in the job family, salary grade, or exemption status of a position) or involving new continuing staff positions are approved through the annual consolidated operating budget process or by the responsible Vice President, Provost, or President in accordance with the applicable policies and procedures.<sup>1</sup>

**Changes to Existing Organizations, Programs, and Services**

The University recognizes the need periodically to realign organizations and staff based on administrative effectiveness and efficiency, use of new technology, or changes in direction of the organization and that changes to continuing staff positions will be associated with those realignments and expansions of organizations, programs, and services.

Proposals for changes to continuing staff positions in existing organizations, programs, and services follow the process outlined below.

- The responsible dean, vice provost, or associate/assistant vice president develops a proposal for presentation to the responsible Vice President, Provost, or President. The proposal shall

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<sup>1</sup> Reclassification of a position (i.e., a change in the job family, salary grade, or exemption status of a position) occurs only in the context of a reorganization or other organizational change in a school, center of distinction, or administrative division, including the promotion of an incumbent resulting from a change in a position. Market or equity compensation issues for a position are addressed through the procedures outlined in the compensation administration guidelines.

include:

- A statement of the business necessity for and strategic impact of the proposed changes
  - Current and proposed organizational charts
  - The current job description and the proposed job description and job content questionnaire for all positions impacted by the changes
  - The proposed timeline for implementation
- The responsible Vice President, Provost, or President reviews the proposal and approves it in principle and forwards it to the Department of Human Resources and the University Finance Office for review and evaluation.
  - The Department of Human Resources works with the responsible administrator on *staffing and organizational issues* associated with the proposal. Human Resources advises the administrator on organizational relationships and issues, appropriate position titles, job descriptions, and applicable staff personnel policies and procedures. Human Resources determines job family, position classification, salary grade, exemption status, and any required personnel actions.
  - The Department of Human Resources and the University Finance Office work with the responsible administrator on *funding issues* associated with the proposed reorganization, including the costs associated with the proposed staff changes and the proposed funding source(s).
  - The responsible dean, vice provost, or associate/assistant vice president submits the final proposal to the responsible Vice President, Provost, or President for their review and approval.

Approval of changes to continuing staff positions associated with changes to existing organizations, programs, and services are authorized as outlined below. Approval is subject to applicable staff policies and procedures and the confirmation of the availability of funding by the Department of Human Resources and the University Finance Office. Funding may come from a general University allocation or from revenue for which a school, center of distinction, or administrative division is responsible.

- If the proposed staff changes associated with a reorganization can be accomplished by a reallocation of existing positions and budget with no net incremental FTE and cost, the staffing changes are approved by the responsible Vice President, Provost, or President in their respective areas of responsibility.
- If the proposed staff changes associated with a reorganization can be accomplished with a reallocation of existing positions with no net incremental FTE but additional budget is required, the staffing changes are approved by the responsible Vice President, Provost, or President in their respective areas of responsibility subject to the concurrence of the President's Staff.
- If the proposed staff changes associated with a reorganization involve additional continuing

staff positions (i.e., incremental FTE) and budget, the staffing changes are approved through the University's annual consolidated operating budget process.

All changes to existing organizations, programs, and services and the related staffing changes must be approved by the responsible Vice President, Provost, or President in accordance with the applicable policies and procedures *prior* to implementation. Substantially new or revised duties and responsibilities that could result in a reclassification of a position should not be assigned to staff without formal approval. Salary adjustments associated with changes to positions are determined in accordance with the staff compensation administration guidelines. Such salary adjustments are made as of the effective date approved for the change to the position; no retroactive pay will be made.

### **New Organizations, Programs, and Services**

The University recognizes the need to establish continuing staff positions in association with new organizations, programs, and services and that the incremental staffing will generally require additional staff salary and benefits budget. New continuing staff positions associated with new organizations, programs, and services are generally approved through the University's annual consolidated operating budget process.

Proposals for changes to continuing staff positions associated with new organizations, programs, and services follow the process outlined below.

- The responsible dean, vice provost, or associate/assistant vice president develops a proposal for presentation to the responsible Vice President, Provost, or President. The proposal shall include:
  - A statement of the strategic need for the new organization, program, or service
  - Proposed organizational chart
  - Proposed job description and job content questionnaire for the positions required for the new organization, program, or service
  - The proposed timeline for implementation
- The responsible Vice President, Provost, or President reviews the proposal and approves it in principle and forwards it to the Department of Human Resources and the University Finance Office for review and evaluation.
- The Department of Human Resources works with the responsible administrator on *staffing and organizational issues* associated with the proposal. Human Resources advises the administrator on organizational relationships and issues, appropriate position titles, job descriptions, and applicable staff personnel policies and procedures. Human Resources determines job family, position classification, salary grade, exemption status, and any required personnel actions.
- The Department of Human Resources and the University Finance Office work with the responsible administrator on *funding issues* associated with the proposed new organization, program, or service, including the costs associated with the proposed continuing staff positions and the proposed funding source(s).

- The responsible dean, vice provost, or associate/assistant vice president submits the final proposal for the new organization, program, or service to the responsible Vice President, Provost, or President for their review and approval.

Approval of changes to continuing staff positions associated with new organizations, programs, and services are authorized as outlined below. Approval is subject to applicable staff policies and procedures and the confirmation of the availability of funding by the Department of Human Resources and the University Finance Office. Funding may come from a general University allocation or from revenue for which a school, center of distinction, or administrative division is responsible. New organizations, programs, and services are also subject to any required approvals through the University governance structure.

- If the proposed continuing staff positions associated with a new organization, program, or service can be accomplished by a reallocation of positions and budget from a discontinuation of or reduction in an existing organization, program, or service, the staffing changes are approved by responsible Vice President, Provost, or President in their respective areas of responsibility.
- If the proposed continuing staff positions associated with a new organization, program, or service involve additional positions (i.e., incremental FTE) and associated budget, the staffing requirements are submitted through the University's annual consolidated operating budget process.

## **FUNDING OF CONTINUING STAFF POSITIONS**

### **Continuing Staff Position Salary Budgets**

The annual salary budget for a continuing staff position is set at the annual salary rate for the incumbent. Adjustments to the annual salary budget for a continuing staff position will be made when a replacement employee's salary differs from the original base annual budget for the position. For positions funded from a general University allocation, the difference in the annual budget for the position will be funded from or returned to the University's staff salary budget. For positions funded from revenue for which a school, center of distinction, or administrative unit is responsible, the difference will be funded from or returned to that specific funding source.

Unexpended staff salary budget at the end of the fiscal year funded from a general University allocation is recovered by the University. Unexpended staff salary budget at the end of the fiscal year funded from revenue for which a school, center of distinction, or administrative division is responsible remains with the school, center of distinction, or administrative division.

### **Continuing Staff Position Temporary Salary Savings**

Funds budgeted for continuing staff positions that are unexpended during the fiscal year due to vacancies or unpaid leaves of absence may be used by the department administrator with the approval of the responsible dean, vice provost, or associate/assistant vice president for the following.

- Overtime incurred by staff to cover the duties of a vacant position or an employee on a leave

of absence

- Additional compensation for an employee who is assigned responsibility for a major component of a position at a higher salary grade and is accountable for the scope of the position on a temporary basis when a position is vacant or an employee is on a leave of absence.
- Temporary replacement personnel hired through an employment agency to cover the duties of a vacant position or an employee on a leave of absence, generally for a period of no more than six months
- Fixed term employees to cover the duties of a vacant position or an employee on a leave of absence, generally for a period of six months or more
- Overlap of employees occurring at turnover

Temporary salary savings must be used during the fiscal year in which they occurred and may *not* be used to create or augment funding for other continuing staff positions or fixed term positions.

#### **APPROVAL AND FUNDING OF FIXED TERM POSITIONS**

Fixed term staff positions may be approved through the University's annual consolidated operating budget process, in conjunction with a grant or designated gift, or by the responsible Vice President, Provost, or President in accordance with the applicable policies and procedures outlined below.

- Fixed term staff positions funded by a grant or designated gift may be approved by the responsible Vice President, Provost, or President in their respective areas of responsibility. Approval is subject to applicable staff policies and procedures and the confirmation of the availability of funding by the Sponsored Projects Office, the University Finance Office, and the Department of Human Resources. Such positions are approved for a period consistent with the terms of the grant or designated gift.
- Fixed term positions may be approved by the responsible Vice President, Provost, or President in their respective areas for a period of no less than six months and no more than one year or the balance of the fiscal year, whichever occurs first. Such positions are funded from the discretionary funds of the responsible Vice President, Provost, or President or sources identified by the responsible dean, vice provost, or associate/assistant vice president. Approval is subject to applicable staff policies and procedures and the confirmation of the availability of funding by the Department of Human Resources and the University Finance Office.
- Fixed term positions may be proposed and authorized through the University's annual budget process for a period not to exceed two years and ending no later than June 30 of the terminal year. Such positions may be funded from a general University allocation or from revenue for which a school, center of distinction, or administrative division is responsible.