New York University

Title:	Position Management Operating Policy and Procedures
Effective Date:	September 1, 2016
Issuing Authority:	Executive VP, Finance and Information Technology
Responsible Officers:	Vice President, Budget and Planning
	Vice President, Human Resources
	Vice Provost

A. Purpose of this Policy

Position Management is the business process and system used by schools and units to plan for and report on the resources required for all full-time faculty, full-time and part-time administrative and staff positions. Position Management accurately reports the total number of filled, authorized vacant, and proposed positions at any given time, and the financial resources that are required to fund those positions. The system also provides reporting and analytics to support University-wide policy decision making.

B. Scope of this Policy

This Policy applies to all full-time faculty, administrative and staff positions at the NYU New York Campus.

C. Benefits of Position Management at NYU

- Accurately report on filled, vacant, and proposed positions across schools and units.

- Eliminates ambiguity regarding the approval and funding of proposed positions

- Robust analytics

- Increased transparency

- Timely response to requests to create, modify, fill and close positions

- Track, document and audit the process to create, modify or fill positions

D. Procedures for Implementation

Personnel budgets for schools and units in the University are developed annually and disseminated by the Budget Office before the start of the fiscal year. In conjunction with University Human Resources, the following processes are used to achieve the goals of this policy:

- Each position is assigned a unique position number for identification and historical tracking

- All proposed new administrative positions in schools and units for the upcoming budget planning cycle are submitted through the **"Proposed Position Process"** in the University's Human Resources System (PeopleSync) and reviewed at the annual budget meeting.

- All proposed new academic positions are submitted to the Provost each year in June as part of the Annual Faculty Hiring Plan. Funding for approved positions must be demonstrated in the presentation the school prepares for the annual principals budget meeting.

- All full-time administrative and staff positions that remain vacant for one year and are not being recruited are required to be closed, unless a school or unit provides an acceptable rationale for continuation of the open position. The budget for closed positions will be moved by the fiscal officer to the appropriate personnel contingency budget in the school or unit.

- Annually, the Original personnel budgets (i.e., the budget at September 1) for full-time faculty, administrative and staff positions in the Position Management Staffing Model will be loaded from PeopleSync to the University's Financial Reporting System (FAME) during budget submission.

E. Operational Policies

1. For schools, the academic staffing plans and the corresponding proposed positions must be approved by the Provost. After Provost's approval, the proposed positions are reviewed at the principal's budget meetings, when the school will demonstrate sufficient financial plan funding.

   All applicable information listed below is needed for the review:

   a. Track: Tenured, Tenure Track, Full Time Continuing Contract or other

   b. Position Title

   c. Department / Organization

   d. Academic Field

   e. Location (ex: New York, Abu Dhabi, Florence, etc.)

   f. If position is New position or a Replacement position

   g. Justification for position if New

   h. Funding Source

   i. Budgeted Salary. All positions will be charged the applicable fringe rate

   j. Employment Status (i.e. full-time, part-time)

   k. Proposed Start Date

   l. Term (i.e. indefinite, fixed term, contract, etc.) For fixed term and contract positions, both the anticipated start and end dates should be included.

   m. Job Family/ Job Profile

   n. Other information if applicable, e.g. email attachments

2. For schools and administrative units, proposed administrative and staff positions are reviewed at the principal budget meetings, when adequate financial plan funding is demonstrated.

   All information listed below is needed for the review:

   a. Position Title

   b. Department / Organization

    c.   Location (ex: New York, Abu Dhabi, Florence, etc.)

    d.   Justification for position

    e.   Funding source

    f.   Budgeted salary (target market 50th percentile). All positions will to be charged the applicable fringe rate

    g.   Employment Status (i.e. full-time, part-time)

    h.   Proposed Start Date

    i.   Term (i.e. indefinite, fixed term, contract, etc.) For fixed term and contract positions, both the anticipated start and end dates should be included.

    j.   Job Family/ Job Profile

    k.   Other information if applicable, e.g. email attachments.

3. Schools and units retain the funding for vacated positions in personnel contingency until the position is replaced or the funding is reallocated for a different position or different purpose.

4. Position budgets for eliminated positions should be moved by the fiscal officer to the school's or unit's personnel contingency budget, unless the funding is used to create a new position or used to provide supplemental funding for an existing position.

5. Position budgets for unpaid leaves of absence or sabbatical leaves:

    a.   The position budget stays in the department's base salary budget for a period not to exceed 12 months. This may span one or two academic years.

    b.   If the position continues to be on leave beyond 12 months, fiscal officer shall move the position budget to the school's or unit's personnel contingency budget. For administrators and staff, units should consult with their Human Resources Officer/Partner to ensure the leave process has been completed pursuant to the University's leave policies. For faculty, units should consult with the appropriate faculty affairs representative.

6. Position budgets for approved vacant full-time faculty or administrative positions that are temporarily re-assigned:

    a.   The approved vacant position's effective start date should be updated.

    b.   Budget modifications should be processed to fund the temporary reassignments.

    c.   Unused position budgets should move to the school's or unit's appropriate personnel contingency budget.

7. Ad-Hoc Requests for New Administrative Positions

New administrative positions requested outside of the annual budget planning process should first be approved by senior leadership at the school/unit level consistent with their internal approval process. Once approved, the HR partner/HR Officer will work with the University Human Resources Compensation department to complete the position classification and compensation review. The fiscal officer will confirm budget availability in personnel contingency. Approval from the NYU Budget Office is not required. If there is insufficient

funding in personnel contingency, then the current budget modification rules apply and approval from NYU Budget office is required.

8. Request to Replace or Fill Approved Vacant Position with No Funding Changes

   Approved positions that are vacant or become vacant with no role changes, can be filled at any time without further approval.

   If there are changes, additional approval will be necessary. Pursuant to the university's compensation guidelines, if 50 % or more of the role changes, a new position should be created, and the current position should be closed. No further approval is required.

9. Requests to Restructure Positions

   To restructure a position, the request must first be approved by the school or unit leadership and fiscal officer. All University Human Resources policies and procedures should be adhered to.

   a. Requests with no incremental funding can be submitted without further approval.

   b. For requests with funding changes, a budget modification to modify the position budget should be submitted with appropriate backup.

F.   Hiring Review Team (HRT)

The role of the Hiring Review Team is re-defined as of September 1, 2016. The HRT will no longer approve proposed hires. Instead, the HRT will provide strategic guidance for planning by reviewing on a regular basis selected reports that cover all positions and related budgets across the University. Membership of the HRT is: Executive Vice President, Finance and Information Technology; Sr. Vice President for Finance and Budget and Chief Financial Officer (CFO); Associate Provost for Administration and Finance; Vice President, Human Resources; Vice President, Budget and Planning.

G.   Cost Center Manager

A Cost Center Manager role is assigned to each school and unit.   The person (or persons) assigned to this role is the contact for Position Management. The Cost Center Manager is typically the fiscal officer in a school or unit.   The Manager is responsible for regularly verifying that all position budgets in PeopleSync tie to salary budgets in the financial reporting system for their school or unit and review these budgets with the assigned NYU Budget Office analyst for the school or unit. A mid-year review of vacant positions should be initiated at the unit level by the Fiscal Officer in partnership with the respective Human Resources Officer/Partner and the unit head to confirm the need for the vacancies and the availability of resources.

H.   Annual Budget Memo

Budget policies on compensation as described in the Annual Budget Memo apply to positions in the Position Management Staffing model.

Glossary of Key Terms

Position Management Staffing Model-Most structured staffing model which requires a position to be created and approved before it can be filled. Also allows for extensive reporting and position history. Used for Staff/Admin. and Full Time Faculty employees.

Job Management Staffing Model-Less structured staffing model allowing simultaneous job creation and hiring. Limited reporting and job history capability. Used for Adjuncts, Researchers, Post-Docs, Student Workers, RAs, TAs, GAs.

Vacated Position- Incumbent leaves an approved filled position. The position budget is available, and there is no one seated in the position. This may be due to resignation, promotion to another position or others.

Eliminated Position- Closeout an approved position which is longer needed. The position budget is moved into personnel contingency.

Job Family- Broad groupings of jobs that perform similar functions such as Human Resources. Job Family is a set of related job profiles (Job Family Group > Job Family > Job Profiles)

Job Profile- Describe general characteristics of a position and identify special skills, management level, exempt status and/or other qualifications. Each position is assigned a Job Profile.

Job Requisition- The process of recruitment, which includes job posting, interviewing and hiring.