

Staff Position Management Guidelines

PURPOSE AND FRAMEWORK

To ensure USC is exercising the highest levels of responsible stewardship and accountability for managing its staff and related resources, the university takes a comprehensive approach to workforce planning that encompasses purposeful organizational assessments, robust workforce analysis, position control and financial management. The goal is to ensure that the highest level of organizational efficiency is achieved when planning for the replacement or creation of positions, which requires a comprehensive approach when justifying requests for new or replacement workers including both staff and contract labor.

These guidelines provide the framework under which this comprehensive approach is implemented when conducting workforce planning and budgeting for all staff vacancies. It also provides direction for anyone with direct input on people planning and budgeting so that proper oversight of the university's resources is ensured.

Through the implementation of these guidelines, which require responsible stewardship and accountability for managing staff resources, USC expects to:

1. Institutionalize principles of workforce planning through USC's position management practices.
2. Eliminate duplicative work and unnecessary layering of resources at every level. Craft and maintain optimal span of control for managers.
3. Ensure approval for resources is based on institutional strategic priorities.
4. Control the cost of resources with appropriate job classifications and compensation guidelines, and based on budget availability.

Workforce planning is core to developing the most effective organization. USC's priority is to ensure that resources are strategically placed in position for success. The primary focus of these efforts are:

1. Ensuring workforce and succession planning efforts that result in the most effective employees and organizations.
2. Recruiting and retaining the highest quality talent based on clearly identified needs.
3. Obtaining active commitment from leadership and managers to establish and maintain efficient and effective workforce plans.

PRINCIPLES

When creating or filling staff positions (including full-time, part-time, fixed term, resource, per diem, contingent, and temporary workers), managers must deliberately incorporate workforce analysis and planning which are key to effective position management principles. The university requires ongoing organizational assessments be conducted in a purposeful and timely manner, which must include: 1) performing regular reviews of workforce requirements; 2) eliminating non-essential work; and 3) providing strong justification for hiring. These requirements also apply to the engagement of independent contractors or individuals working for the university under professional services agreements. Although all staff positions are reviewed, certain

positions, due to the nature of the tasks performed, will be given special consideration for approval. Executive approval is required for most staff positions.

Controlling the requirements and approval for staff positions of all types requires direct involvement of functional leaders in the decision processes. This includes designated senior management, department managers, and functional partners (e.g., finance and human resources).

DEFINITIONS

Workforce Analysis: A comprehensive and systematic process for determining the number of people needed, along with the right skills and competencies necessary to perform required work. This analysis provides the framework for making staffing decisions based on organizational goals and financial resources.

Workforce Planning: An assessment of the current availability of resources to support current and future requirements; for example, succession planning for current workers leaving the workforce due to retirement, attrition, and other factors.

Position Management and Control: A continuous and systematic process for determining the number of positions needed with the appropriate skills and knowledge required to carry out necessary work.

Financial and Budget Allocation: The systematic review of financial resources necessary to acquire a new position, or replace a vacant position. The assessment must include consideration of workforce planning and analysis efforts. Finance/SBO and HR Partners must collaborate to validate that approved salary budgets are in line with Compensation market pay ranges, and variations are documented.

Organization Assessment: Provides the framework for integrating functions, people, and technology to accomplish established goals. The optimal structure defines supporting roles and responsibilities. Information and technology support the processes through which goals are achieved. Successful integration of these components is key to achieving the organization's goals.

Span of Control: The manager-to-employee ratio. The primary goal of maximizing the span of control for managers is to ensure organizations function effectively and efficiently.

Executive Approval: Approval required by the Provost and Senior Vice President for Academic Affairs, Senior Vice President for Administration, or Senior Vice President and Chief Executive Officer for Keck Medicine of USC.

PROCESS – POSITION MANAGEMENT ASSESSMENT

The authority and responsibility to establish, budget, and manage positions and compensation resides with managers, deans and vice presidents, HR Partners, Compensation Partners and Senior Business Officers under the direction of and in accordance with priorities established by the university's senior leadership. Sound position management and a carefully designed organization structure result in reasonable and supportable job classifications and pay ranges.

The optimal structure provides balance among organizational needs, financial and staff resources, and efficiency of operations.

When a position becomes vacant or when a new position is being created, the hiring manager (with the support of the HR Partner or designee) must complete a workforce analysis using the **position management decision tool** (see Appendix below). When conducting this analysis, consider:

1. What are the primary goals and objectives that need to be accomplished?
2. How can required skills be grouped/divided so that goals and objectives can be met?
3. How specialized should individual roles be?
4. Who should lead/manage work being performed?

Span of control must also be determined, considering the following factors:

- ***Job complexity*** – subordinate jobs that are complex may require more management involvement.
- ***Similarity of subordinate jobs*** – the more similar and routine the tasks being performed, the easier it may be for a manager to supervise employees, which may result in more direct reports.
- ***Diversity of assigned functions*** – an organization having multiple discrete functions and unique skill sets across functions may result in fewer direct reports

If the manager decides not to backfill a vacancy, the position should be closed. Funding for that position should be designated to higher strategic priorities.

Scope and justification requirements

Replacing or adding any position requires the hiring manager and functional partners to provide relevant and detailed justification in the Workday job requisition process. The justification must reflect that a comprehensive review was completed in support of the request. Failure to provide a compelling and supportable justification will result in denial of the request.

Justifications for positions and engagements must:

- Establish why the position and work performed is critical to the mission and operation of the university
- Demonstrate how not filling the position may negatively and irreparably impact critical operations or remove revenue streams
- Demonstrate a workforce planning review has been conducted that determined work could not be distributed among existing staff or with fewer staff
- Reference factors impacting overall budget including compensation, benefits, supplies, and space

A compensation review is done to assess the appropriate market pay range for posting and hiring. Deviations from the pay range recommended by Compensation require additional approval.

Requests to fast-track the review/approval to fill emergency hiring needs require executive approval.

Positions requiring executive approval

Staff positions and job requisitions requiring review/approval by designees

- New positions whether or not adds to headcount
- Vacated positions where a requisition is created with the intent to backfill
- Requisitions whether for posting or not-for-posting (e.g., internal promotions)
- Regular staff, fixed-term staff, resource employees, per diems

Positions given special consideration:

- Contract, grant and gift funded
- Revenue generating (as defined by senior management)
- Clinical – direct and indirect patient care (e.g., nurses, lab technicians, etc.)
- Fundraising
- Student admissions
- Health and safety (e.g., DPS, EHS)
- Secondary positions created for the purpose of processing temporary overload payments to existing waged staff employees (note: compensation approval requirements apply)

Approval process

For staff positions the following approval process is established and completed in Workday:

- Prior to routing for final executive approval, requisitions are reviewed and approved by: manager, manager’s manager, and Senior Business Officer or designated department administrator
- All requisitions (new positions and backfill for existing positions) route for final approval in Workday to an established Senior Vice President (SVP) role assigned to specific supervisory organizations (designees of the Provost and Senior Vice President for Academic Affairs, Senior Vice President for Administration or Senior Vice President and Chief Executive Officer for Keck Medicine of USC)
- New positions (not backfill) also route to a Compensation Partner for review of classification and appropriateness of pay

Contingent/temporary worker positions requiring review/approval by designees

- New or renewed existing assignments whether sourced or paid under the Trojan Talent Source program when:
 - Labor category is administrative/clerical, professional, or technical (excluded are clinical, event staff, and light industrial)
 - Requisition is >\$10k (including change orders that bring total to above \$10k)

- Funding source is not sponsored research

Positions excluded:

- Contract, grant and gift funded
- Clinical – direct and indirect patient care (e.g., nurses, lab technicians, etc.)
- Event workers (e.g., Hospitality Services, Athletics)
- Seasonal workers in critical roles (e.g., Residential Housing, Enrollment Services, summer camp workers)
- Light industrial

Independent contractors and individuals engaged under professional services agreements (incorporated as a business) – requiring review/approval by designees

- New or renewed agreements or engagements when:
 - Contract is >\$10k
 - Contract is *not* funded by sponsored research

Positions excluded:

- Contract, grant and gift funded

ACCOUNTABILITY AND OVERSIGHT

Collectively, hiring managers, Senior Business Officers, and HR Partners or their designees are responsible for:

- Assessing workforce needs to align with departmental operational goals
- Conducting workforce analysis and organizational effectiveness reviews to support sound position management decisions
- Confirming that decisions are justified and consistent with current approved guidelines and processes
- Ensuring accountability and proper internal controls are established
- Facilitating processes for completing required review approvals and documentation
- Maintaining workforce plans and decision documents regarding the approval, budgeting, and recruiting of vacant staff, temporary or contractor positions. The workforce plan serves as the framework for effectively establishing and maintaining organizational staffing plans and authorized budgets, and must contain definitive statements regarding:
 - Current and projected workload (including eliminating unnecessary work), and goals to address any gaps or deficiencies
 - Projected resource losses (retirements, historical turnover rates, etc.) and identification of effective recruitment strategies
 - Validation of resource requirements based on assessments of whether duties can be eliminated or assigned to an existing position, or if a different position is needed

HR Partners or their designees are responsible for:

- Implementing effective strategies to attract, develop and retain skilled employees in line with workforce analysis and planning
- Ensuring accountability and proper internal controls are established and documented at designated levels to justify the need for replacing or opening positions
- Communicating guidelines, and training managers in related processes

Appendix – Position Management Decision Tool

Department:		Date:
Manager Name:		HR Partner:
Job Code:	Job Profile:	Business Title:

Workforce analysis and planning provide the means for achieving overarching organizational goals. Goals will not be achieved "without the right number of people with the right skills in the right place at the right time." Key factors embedded in sound position management and control practices include effective organization design and succession planning. The position management guidelines provide a uniformed and disciplined approach for assessing staff and financial resource requirements for accomplishing required work. Hiring managers must adhere to these guidelines when evaluating vacated positions, or establishing new positions, including temporary and contract workers.

The first step is to determine whether a vacancy must be filled.

STEP 1: WILL THE VACANCY BE FILLED?

To answer this question, hiring managers should apply position management principles in assessing their options. The following checklist includes considerations when reviewing a vacancy, or determining need for a new position. For each item, initial in the appropriate Yes/No column your response to the item question:

Item #	Item Description	Yes	No
1.	Have you completed a position management review of your organization in the past twelve months? If not, complete using the following guidelines.		

Position Management Review – In completing the position management review, have you considered the following:

- What work needs to be completed? Only positions for which there is a valid need based on organizational goals, workload, and funding should be created or continued.
- Is the current structure efficient, effective, and in line with organizational goals?
- Do any duties need to be added, removed or changed?
- Does the position description adequately and accurately reflect assigned duties?
- If the position is supervisory, have you assessed the span of control and considered whether it should be maintained at the same level?

Item #	Item Description	Yes	No
Workforce Analysis – The primary elements of a workforce analysis involve a review of the items listed below.			
1.	Did you examine whether the work could be redistributed, or if there is any duplication or overlap of functions?		
2.	Did you determine whether or not the vacant position is critical, and if the key competencies associated with this position are or can be shared with another position?		
3.	Did you evaluate the current headcount including anticipated turnovers?		
4.	Did you forecast the optimal headcount and competencies needed to meet future business needs?		
5.	Did you evaluate the gap between the supply and demand of the required skill sets or competencies to identify headcount and competency surpluses or deficiencies?		
Balanced Workforce – Assess the workforce to establish a balance between entry-level and mid-level positions, and to consider workforce competence to address future skill gaps.			
1.	Have you assessed what skills are currently vital to the accomplishment of goals and objectives? Did you identify the current skills and competencies of the workforce required?		
2.	Have you addressed skill imbalances or gaps due to attrition including retirement over the next 2 years, and the potential impact?		
3.	Have you explored training or recruiting options for filling competency gaps?		
4.	Have you considered addressing skill gaps through acquiring and developing entry-level employees for vacancies?		

Based on the position management review and workforce analyses, the hiring manager, in consultation with his/her manager and HR partner, is equipped to make an informed decision on whether the vacancy should be filled. A decision not to fill the vacancy ends the process, and documentation is maintained for future consideration.

STEP 2: FILLING THE VACANCY

If the decision is to fill the position, the following items are to be considered:

Item #	Item Description	Yes	No
<p>Recruitment Strategy – Hiring managers must maintain an active recruitment strategy for future vacancies. Incorporating diversity outreach into workforce planning and succession management is imperative to achieving goals.</p>			
1.	Have you engaged your HR Partner to ensure your efforts are aligned with all hiring initiatives?		
2.	Have you conducted ongoing recruitment efforts to develop a pool of likely candidates?		
4.	Have you discussed diversity recruitment options, including veterans and people with disabilities?		
<p>Succession Planning – Succession planning involves developing a plan to address workforce needs as current employees leave due to retirement, attrition, and other factors.</p>			
1.	If this is a leadership position, did you consider alternatives such as a development opportunity for a current staff member, or integrating the position’s work into another area?		
2.	If appropriate, did you consider retention strategies for incumbent with highly critical competencies or essential institutional knowledge?		