

MAINTAINING POSITION CONTROL

University Standard: STN-U5230.03A

Effective Date: January 9, 2024

Authority

[POL-U5230.03](#) Authorizing and Defining Financial Responsibilities

See Also

[PRO-U5230.03A](#) Budgeting for Position Control Procedure

Purpose of Standards

Position control is designed to ensure effective fiscal management and ongoing accountability as an integral part of filling positions. Personnel costs account for a large portion of the institution's expenditures, and it is critical that hiring managers balance the need for fiscal responsibility and effective hiring practices when filling positions. The following standard and associated procedure provide guidance for ensuring sustained organizational effectiveness for position control.

Owner

Responsible Office: Strategy, Management and Budget Office

Responsible Officer: Assistant Vice President of Strategy, Management and Budget

Definitions

Position Control

A budgeting and planning tool that organizes and tracks a workforce by position rather than by employee and helps ensure sufficient funding is available to support staffing commitments.

Required Standards

1. Strategy, Management, and Budget (SMB) is Responsible for Implementing Position Control Processes

SMB is responsible for implementing and overseeing Position Control processes that enable the institution to accurately allocate, monitor, and report on all authorized continuing and fixed-term faculty and staff positions at WWU.

2. Financial Managers are Responsible for Position Control Under their Purview

Financial Managers are responsible for managing funds they oversee within the available budget, including employment contracts and agreements. All permanent positions and non-tenure track faculty positions

must be fully budgeted with appropriate funding before hiring commitments are made. Additionally, new positions should not be created to the detriment of a unit's ability to fund non-labor expenses within the limits of budgeted revenue. Newly created position budgets must also include employee benefits for all positions considered benefit eligible.

3. Division Budget Officers are Responsible for Monitoring Position Budgets Within Their Divisions

The budget officers (or equivalent) for each division have position budgeting responsibility for permanent positions and non-tenure track faculty positions within their divisions and must ensure that recruitment and hiring processes do not proceed until positions are fully budgeted.

4. Position Budgets Must be Loaded Prior to Any Recruitment Activity

Verbal and written approval for a position from a dean, director, chair, or VP does not replace the requirement for allocating funding into the budget for a position. After a commitment is made from leadership, a transfer of funds is needed to allocate budget to a new position number or adjust the budget for an existing position. This ensures that multiple commitments are not made against the same dollars.

5. Position Control Procedures Must be Followed Based on Personnel Action

a. Standard Recruitments

Human Resources establishes the salary range for staff positions, and Deans work with the Provost to establish a salary range for faculty positions prior to recruitment. Hiring managers or their delegates are responsible for determining if there is sufficient budget in the position to cover the mid-point of the salary range and associated benefits before routing a recruitment request. If there isn't sufficient budget associated with the position, departments or divisions must initiate a transfer to allocate budget before advancing with recruitment. See *Budgeting for Position Control Procedure* (PRO-U5320.03A)

If a hiring manager determines that a higher offer is necessary for their preferred candidate, they first should consult with Human Resources on whether making an offer above the range is appropriate in this case. Before proceeding with a higher offer, additional budget should be identified and committed (in the position budget) before the offer is approved or immediately afterwards.

b. Noncompetitive Hires and Non-tenure Track Faculty

Position control is still a required step for employment contracts and offers that do not go through the standard recruitment process, such as appointment of opportunity, direct appointments, internal promotions through position reviews, interim appointments, and annual hiring of non-tenure track faculty. In these cases, adequate funding for the anticipated salary should be loaded into the position before making a commitment to the (prospective) employee. Hiring materials should be routed through the Division Budget Officer for approval before making commitments, and the Division Budget Officer is responsible for ensuring that the budget is in place before approving.

c. Promotions

Permanent funding is needed for salary increases. If increases are implemented during the fiscal year, the same budgeting process will need to take place as with a new employment action. As with non-competitive hires and non-tenure track faculty, Personnel Action Forms should be routed through the Division Budget Officer for approval, and the Division Budget Officer is responsible for ensuring that the budget is in place before approving.

6. Permanent Positions Should be Funded with Recurring Funds

As a best practice, permanent positions should only be hired with recurring funds. In rare cases, one-time funding may be appropriate as a bridging strategy when permanent budget is identified but not yet available, such as an overlap with a known retirement where recruitment is beginning while the position has an incumbent, or when new recurring state funding has been awarded for the next fiscal year and there is a strategic decision at the Vice President level to hire sooner. If funding has been requested but is not committed, then an alternative source of recurring funding should be identified before proceeding. When appropriate funding is not available, budget officers or those in equivalent roles must pause permanent hiring actions until recurring funding has been identified and allocated. See *Budgeting for Position Control Procedure* (PRO-U5320.03A). If the only identified support for the position is through one-time funds, a project position is more appropriate.