



POLICY MANUAL

OPERATING POLICIES AND PROCEDURES

Number 3313

Subject: Approval Authorization for Personnel Actions

Effective Date: August 22, 2007

3313.1 PURPOSE

This policy provides guidance concerning authority to approve certain personnel transactions on behalf of the University. It also defines when such authority may be delegated.

3313.2 DEFINITIONS

2.1 Personnel Action

A personnel action may be, but is not limited to, any of the following:

Electronic Personnel Action Form (EPAF):

- New hire – Fiscal Year or Academic Year
- Salary change
- Status change
- Account change
- Extra compensation
- Additional work effort
- Termination

Job Requisition

New Position Request

Position Evaluation

Leave or Leave Settlement

Time Card and/or Overtime Approval

2.2 Department

Within a Vice President or Dean level organization there are a specific number of departments, each with its own unique identification code for budget purposes (Budget Office “Master University Department” [MUD] list).

2.3 Department Administrator

A department administrator holds the title of Director, Manager, Department Head, Dean, Vice President, etc. The department administrator is responsible to see that actions covered by this policy are (a) necessary, (b) reasonable, and (c) directly related to the goals and mission of his/her unit.

2.4 Proxy

A proxy is an employee who accepts responsibility from a department administrator to approve personnel actions on his/her behalf. This individual will have sufficient knowledge of how each action covered by this policy fits within the goals of the unit. Such knowledge usually lies with a Business Manager, Assistant Department Head, Associate Vice President and other similarly titled individuals.

3313.3 POLICY

There may be occasions when a department administrator is not available to approve personnel actions in a timely manner. Therefore, it is necessary and practical to delegate approval authority through the assignment of a proxy to ensure that efficient and effective procedures are maintained. Although each department administrator has discretion to delegate such authority, final accountability remains with the department administrator.

In certain units, proxy assignment to a Business Manager, an Assistant Department Head, an Associate Vice President or another similarly titled individual may not be possible or practical. Under these limited circumstances, the unit must maintain a separation of duties necessary for proper internal control. The department administrator considering assigning a proxy must create an appropriate review process for all transactions approved by a proxy.

3313.4 RESPONSIBILITY

4.1 Department Administrator

The delegation of a department administrator’s approval authority should maintain proper separation of duties. Department administrators should delegate authority to an employee with a similar level of administrative responsibility, such as: from a director to an assistant director; a department head to an associate department head; a vice president to

a business manager. Delegations must be reviewed at least annually. If there is a personnel change which involves approval authority, delegations must be reviewed immediately. Delegations may be viewed on Banner-HR. A termination checklist is available on the Human Resources website.

Sharing passwords or other such actions which weaken the internal controls of the University are ***not*** an appropriate delegation of authority.

4.2 Proxy

This employee is responsible to see that each personnel action is (1) necessary, (2) reasonable, and (3) directly related to the goals and mission of his/her unit.

3313.5 ACCOUNTABILITY

Violation of this policy may result in disciplinary action.